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Notes for Assistant Deputy Minister Modernization – October 2021

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3. Evolution of Modernization Structure
4. Work Activities
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    b. Procurement
    c. Governance, Oversight and Assurance
    d. Policy
    e. Operations
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5. Committees and Forward Agendas
6. Key reading/links to documents

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1. Welcome to IRCC

Welcome to an amazing and dynamic department!

Should you wish to understand the breadth of the work of IRCC, please find the links to the Foundational binder created to welcome our new Minister (not yet DM approved) with materials that cover an introduction to IRCC, fundamental briefs on key areas of work (including on Transformation), the biographies of our Executive as well as some logistical and corporate information.

- accessing the individual documents here; or
- downloading the OneNote file.

Outside of this product you will also receive:

- IRCC organizational chart
- IRCC's decision-making governance structure
- DMC phone list

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2. Suggested IRCC early bilat list

A welcome meeting for you with DMA Xavier is being arranged by her office for your first day. In addition you may wish to meet with the following individuals to because they play a key role in DPM:

Rina Lorello – A/ADM TDSS - Originally the lead on DPM3 – some individuals from TDSS to be moved over to Modernization (as DPM3 resources still operating from TDSS) - Lead for DPM 1 &2 and therefore intersections on coordination for governance and on dependencies - As the current lead for Transformation, lots of linkages/need to untangle which sector will be the lead - IT Operations	Claude Bazinet - Director under TDSS Digital Strategies Branch - Lead for DPM3 in TDSS (see more info in next section) including procurement Ralph Bishop – DG Transformation - 3 teams under Ralph with links to DPM3 including: o Digital Journey Labs o Programme Office/project planning o Transformation Planning including management of Transformation Governance Committees
Daniel Mills – ADM Operations - Operations business lead	Blair Haddock – Operations DG responsible for DPM3
Marian Campbell Jarvis – ADM Policy - Policy business lead	Patrick McEvenue – Policy Executive responsible for DPM3 Michael Farrell – EPMO resource to support the integration of policy and operational work planning
Holly Flowers Code ADM Corporate Services Sector and Senior Designated Official - EMPO office (with associated accountabilities) under her leadership - Enterprise change leadership team under her Sector - Corporate Governance Unit and support for most IRCC Governance	Marie-Flore Baptiste – DG Projects - Responsible for the development of the Programme Management Framework - Responsible for the oversight of projects across the Department Cal Piche – A/DG Integrated Corporate Business - Manages Corporate Governance Unit - Privacy and ATIP Virginie Mongeon - DG, Enterprise Change and Learning Academy - Responsible for change leadership
Hughes St-Pierre – CFO and Comptroller - Seed funding for sector	Annie Chalifoux – DG Costing - Biweekly TBS meeting

N/R

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Marty Rubenstein – Auditor - Assurance framework	

Other key contacts:

TBS:

Catherine Jobin *(she / elle)*
Executive Director – Defence and Immigration
International Affairs, Security and Justice Sector
Treasury Board of Canada Secretariat / Government of Canada
Catherine.Jobin@tbs-sct.gc.ca / 343-551-1835
Assistant: Victoria Luloff, Victoria.Luloff@tbs-sct.gc.ca

Gartner:

I have not included much in the way of OGD contacts as my main interactions have been through CSET where I know they have already reached out to you, ESDC and OGDs where your contacts are better than mine(!) or the ADM level committee through more formal governance.

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3. Evolution of Modernization Structure

Structure:

During the pre-definition and definition stage, the structure that has been currently arranged is a tiered hub and spoke model with Modernization leading on the core Programme elements of DPM3 as well as establishing key linkages to the business:

- Business – Operations and Policy now have core DPM teams which have been established to provide leadership on horizontal activities within each sector (legislative review, data, identity, integrated network) as well as coordination between the policy and operation sectors, as well as to drive forward specific workplans within the required Branches
- Enablers – linkages to key Programme and project management; governance, change management, CFO office
- TDSS – the following DPM3 work streams are being performed under Claude and will need to be transferred to Modernization:
    - Programme Management
    - Programme Governance
    - N/R
    - Architecture and Capabilities Management
    - Procurement
    - Stakeholder management
    - Change management
    - Requirements
    - Linkages with vision; policy authorities; security stakeholders; privacy, data and information management; oversight and assurance

  [Claude will be able provide you a breakdown of the employees and their responsibilities]

Areas of forward focus:

- Better understanding of the functions in TDSS under DG Transformation and roles and responsibilities over definition and post-definition
- Transfer of TDSS DPM3 resources
- Staffing of new sector

<u>Seed funding:</u>

N/R

DPM related expenses to contracts to ensure the industry engagement activities are not delayed have been paid out of TDSS reserve (e.g. PSPC MOU).

Looking forward, there are two areas that need to be established:

- Transfer of DPM3 team and resources to Modernization

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- Funding pressures in advance of definition phase funding (overview of TDSS related costs below) plus the identification of Modernization costs (staffing) to December

History of DPM funding in DSB/TDSS - DPM Phase 3 situation - Roll-up

	Total O&M	Total Salary	Total
Funds received to date	$3.0M	$0.25M	$3.25M
Pressure to Dec 31	$1.38M	$0.55M	$3.29M
Pressure from Jan-Mar	$1.36M		
Funding Required	$5.74M	$0.8M	$6.54M

The $0.25M came from the Digital Strategy Branch - not from the Department to fund DPM Phase 3

DSB - DPM Phase 3 situation - O&M

Type of funding	Funding	Type of expenditure	Amount
Seed funding -Already allocated	$3.0M	Consultants -Commitment	1,300,000
		McKinsey -Benefits work orig. paid by TB	990,000
		Consultants -Actuals	550,000
		Tier 2 contracts with PSPC - Commitment	160,000
			3,000,000
Pressure to December 31st	$1.38M	MOU with PSPC to confirm Fairness Monitor and dedicated resources	550,000*
		Gartner call up for procurement benchmarking and support (Sep to Dec)	300,000*
		Consultant extension - Current TAs end on Nov 30	250,000
		Gartner call up for vendor management benchmarking and	200,000
		Other O&M - translation, consultant overtime	56,000
		Tier 2 contracts with PSPC - Request to increase commitment	24,000
			1,380,000

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Pressure from January to March 31st	$1.36M	Consultants extension - TAs from Jan 1 to Mar 31	1,060,000
		Gartner call up for procurement benchmarking and support (Jan to Mar)	300,000
			1,360,000
Total O&M cost for DPM Phase 3 - Concept and Identification phase			**5,740,000**

*TDSS reserve used as source of funds.

DSB - DPM Phase 3 situation - Salary

Type of funding	Funding	Type of expenditure	Amount
Pressure in salary	$0.25M	Employee cost and planned staffing	$550,000
Total Salary cost for DPM Phase 3 - Concept and Identification phase			**$550,000**

Note - $250K budget. $800K required for employee cost + planned staff. Deficit of $550K.

Overview there is an unfunded pressure of $1.69M ($0.33M until Dec 31, $1.36M from Jan to Mar).

- Initial seed funding for pre-Definition phase work was $3M which included:
  - $1.85M - Professional services team
  - $0.99M - McKinsey -Benefits work
  - $0.16M - Tier 2 contracts with PSPC
  - Key pre-Definition phase deliverables/artefacts N/R initial Procurement strategy and plans, Concept Case, Expanded Business Case, other supporting strategies and detailed scope planning, and finally, N/R

- In August, we identified that we had a $1.38M O&M pressure until Dec 31 that included:
  - $0.55M - MOU with PSPC to confirm Fairness Monitor and dedicated resources
  - $0.33M - Professional services and other O&M (e.g. Tier 2 contracts with PSPC, translation)
  - $0.3M - Gartner call up for procurement benchmarking and support (Sep to Dec)
  - $0.2M - Gartner call up for vendor management benchmarking and support

- In September, Rina approved the transfer of $1.05M from the TDSS ADMO reserve to cover the MOU with PSPC (Fairness Monitor) and 2 Gartner engagements (above).
  - Unfunded pressure to Dec 31 - **$0.33M** for extension of professional services team and other O&M

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- A potential $1.36M O&M pressure from Jan 1 to Mar 31 that includes:
  - **$1.06M** – Extension of professional services team
  - **$0.3M** - Gartner procurement benchmarking support (Jan to Mar)

Information for Sector Set-up:

FMA:

Michael Wismer CPA, CGA

A/Assistant Director, Financial Partnership
Michael.Wismer@cic.gc.ca

ATIP:

Julie Cameron
A/Team Lead, Training, Projects and ATIP Support Team
Integrated Corporate Business
Julie.Cameron@cic.gc.ca

Branch Tasking Sheets (Bilingual) (https://gcdocs2.ci.gc.ca/otcs/cs.exe/link/366322020)

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N/R

4. Work Activities

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N/R

B. Procurement

s.21(1)(b)

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s.21(1)(b)

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C. Governance, Oversight and Assurance and Programme Framework

- A large amount of legacy tension here due to:

s.21(1)(b)

  -
    - Siloed nature of DPM 1 &2 governance
    - Multiple people working on similar models without awareness of work being done
    - Lacking clarity on roles and responsibilities (becoming clearer as a result of work on TB sub/new sector/etc but see Reflections section!)
- Programme Management Framework – working group established by EPMO; Framework under development
- Assurance – area the most advanced in line with DM Core direction; Executive level discussions have taken place with general comfort although still some hesitancy to understand how this works with oversight in place and funding disbursement.
- Governance – Policy and Ops working in partnership with others have put together all the models that had been created/discussed at different points and are working on a recommended model with the following goals:
    - Working model for the definition phase that can evolve as programme becomes more defined
    - Ensuring linkage with DPM 1&2 including discussions on dependencies
    - Reducing silos of the previous TransCom stream of governance – linkages to existing structures through updates and accountabilities of chairs
    - Linkages to overall IRCC capacity – so that decisions about programmes and projects can be made with an enterprise perspective
    - Trying to utilize the flexibilities endorsed by DM Core (need further conversations on gating)
  - The recommended model will need to move through governance in the near future and should likely be prefaced with a conversation to ensure that everyone has a common understanding of roles and responsibilities

D. Policy Activities:

s.21(1)(b)

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E. Operations

- Internal Communications on varies topics to keep the broader sector informed on the Phase 3 progress such as funding decisions, TB Submission updates, and procurement updates.
- Master Plan for DPM Phase 3 which has been reviewed and vetted initially by SPP, CS, TDSS, and Ops.
- Establishing an in-sector framework for engagement, which outlines how Operations will work together and establishing a baseline for the programs.
- From a Programme Level, operations has been providing support and recommendations in the following areas;
    - Governance recommendations
    - Procurement activities
    - Participation in logic model development specifically the refinement of business capabilities and anticipated benefits
- Planned Upcoming Work Activities:
    - Refinement of the Ops Sector work plan
    - Broader engagement on the master plan
    - Initiate resourcing strategy

F. Partner Strategy

- Initial outreach at Director and DG level with respect to TB submission – policy and operations were present to talk about business transformation
- Much more thinking needed here about "how" partner engagement will mature and how definition funding and future funding requests will be managed
- Need to consider how the ADM and DM level DITAC bodies fit into the overall partner strategy

G. Change leadership

- Very early in this process although existing methods and structures in place to support moving forward
- Mike Farrell along with Enterprise Change management are beginning this work in two tracks:
    i. Prosci engagement with ExCOM table in the new year using DPM3 as a working example

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5. Committees and Forward agendas:

Internally to IRCC, there may be a number of governance committees that you may be asked to participate on; you most certainly will be a member of:

- ADM Tactics (D.Mill's office will invite you)
- ExCOM (every Wednesday – run by CGU)
- DM Strategy (biwkly – run by CGU)

Internally within IRCC, formal DPM governance includes:

COMMITTEE	PURPOSE AND GOALS	CHAIR AND MEMBERS
	DIGITAL TRANSFORMATION GOVERNANCE (INTERNAL)	
Digital Transformation Programme Team - Terms of Reference - **Biweekly** - **Secretariat: DTS**	- Director level decision making committee - Allow transformation lever executives to find alignment, mitigate risks, collectively problem solve, and provide strategic direction.	**Chair: DG TB & DG DSB** Members: Directors of transformation levers, DPM, and Programme Office (TO & TES)
Digital Transformation DG Consultative Forum (DG Forum) - Terms of Reference - **Biweekly** - **Secretariat: DTS**	- DG level advisory committee - Feeder committee to Digital Transformation Programme Board (DTPB) - Identify and address considerations regarding the impacts of transformation on other sectors - Create awareness of transformation progress and upcoming initiatives across the department	**Chair: DG DSB & DG OPPB** Members: 22 DGs across Ops, Policy, Corp Services, Finance, and TDSS
Digital Transformation Programme Board (DTPB) - Terms of Reference - **Every 6 weeks** - **Secretariat: CGU**	- ADM level decision making committee - Feeder committee to TransCom - Advise on strategic and technical implications of transformation projects - Monitor risks and progress of transformation levers at a programme level	**Co-Chairs: ADM TDSS and Modernization** Members: - ADM Ops - ADM Policy - CFO - ADM Corp Services

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		- ADM Settlement - 10 DGs across Ops, TDSS, and Corp Services
Transformation Committee (TransCom) - Terms of Reference - **Every 6 weeks** - **Secretariat: CGU**	- DM level decision making committee - Adopt executive decision regarding transformation initiatives including DPM - Provide sponsoring group level oversight	**Chair: DM** Members: - ADMs from every sector - DGs of Comms, TB, and DSB
NEW MEETING		
DM/DMA Transformation Touch Point - **Every 2 weeks** - Forward Agenda - Terms of Reference	- Touchbase to ensure alignment - Dashboard approach	Chair: DM Vice: DMAs Members: ADMs from CSS, S, TDSS, CFO, SPP, Modernization, DGs DPM 3

Informally within IRCC, informal DPM governance includes:

- Weekly DPM3 Trilat check-ins at DG level on Friday mornings

External Formal Governance Chaired by IRCC:

ADM-Level DTIAC - Terms of Reference - **Every 6 weeks** - **Secretariat: DTS**	- Feeder committee to the DMA-level DTIAC - Gather ADMs of OGDs impacted by changes to GCMS to advise on DPM - ADMs are from projects, IT, transformation, and IM backgrounds to provide a technical perspective on DPM.	**Chair: ADM TDSS (and Modernization?)** Members: 7 ADMs from TBS, SSC, ESDC, CBSA, and IRB; IRCC CIO

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DMA-Level DTIAC - Terms of Reference - **Every 6 weeks** - **Secretariat: DTS**	- Gather DMAs of OGDs impacted by changes to GCMS to advise on DPM - DMAs provide a strategic perspective on DPM	**Chair: DMA** Members: 10 DMAs from TBS, SSC, ESDC, CSEC, CBSA, IRB, PSPC, RCMP, and GAC

External meetings

- **DM Core and associated CSET**	-	Potential October 26, 2021 THEME – Milestones 1. CSET – Back to School 2. External presenter on digital funding 3. DPM – check-in a. IRCC- TBS Condition for Phase 1 & 2 funding (seeking endorsement that condition has been met) (potential to be provided as a secretarial item similar to BDM) – Nimble Assurance b. Governance and oversight (check in) c. IRCC – Critical HR resources and talent (potential secretarial item) 4. BDM – verbal update on altered Checkpoint 2 timeframe 5. NextGen

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		a. Milestone 6-week sprint update b. Lessons learned from pivot – SSC Internal Audit 6. Developing a vendor management culture and framework within Core Services Initiatives (all initiatives present tangible actions taken to date to develop their vendor management practice) – link to procurement
- **TBS Biweekly**	- Meeting invites sent by TBS Program Sector - IRCC participation generally limited to ADM/lead DM plus those invited to present -	- 12th – assurance - 26th – benefits and logic model - Governance and programme framework - Work planning

Upcoming key dates/agenda items:

Week of October 11th:

- TBS Biweekly - Assurance

Week of October 18th

- DM/DMA Transformation touchpoint (18th)– Core team (led by TDSS) creating a prototype dashboard/general updates
- DTPB (22nd) – DPM 1 and 2 change requests, IT capacity resource presentation, Cit e-App scaling, Myaccount Roadmap and Vision

Week of October 25th

- DTIAC ADMs (29th) – DPM vision, disaster recovery, journey labs
- TranCOM (29th)
- TBS Biweekly – logic model and benefits realization
- TBS ADM meeting

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November

- ADM DTIAC (3rd) – DPM 1-3 Status updated, DR Status, IRCC Situational Presentation (including DPM 3 Vision), Partner Presentation from ESDC on Definition lessons learned

In addition, we often do a DPM presentation at the Departmental Audit Committee's regular meeting.

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6. Key reading/links to documents

○

Phase 3 artifacts/documents	Overview Reading
Gartner Phase 3 deliverables	330067140 - DPM Phase 3 Final Repor DPM - Procurement Project Report_Aug DPM Portfolio & Project Managemen
Procurement	Procurement Strategy - https://gcdocs2.ci.gc.ca/otcs/cs.exe?func=ll&objaction=overview&objid=420871289 Procurement Plan for Industry Engagement - https://gcdocs2.ci.gc.ca/otcs/cs.exe?func=ll&objaction=overview&objid=420869118
Governance and Assurance	Working Governance deck Link - linked document. Transformation Assurance Strategy https://gcdocs2.ci.gc.ca/otcs/cs.exe/link/421006404
Policy products – vision and transition	Vision for a Digital Managed Migration System - https://gcdocs2.ci.gc.ca/otcs/cs.exe/link/421233147
Operational Planning	Operations Director Level Work Plan https://gcdocs2.ci.gc.ca/otcs/cs.exe/link/420938131 DPM Phase III - Draft Master Plan for all sectors https://gcdocs2.ci.gc.ca/otcs/cs.exe/link/418305593
Transformation Mapping	Transformation Placemat.pptx
For awareness:	Projects for which TBS provides oversight: TBS-Overview-Placemat-Sep-23-6PM.PD Links related to the work of the Transformation Programme Office: CAPABILITY MAP

N/R

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	https://gcdocs2.ci.gc.ca/otcs/cs.exe/link/420701280 TPO DASHBOARD https://gcdocs2.ci.gc.ca/otcs/cs.exe/Overview/419022185 TRANSFORMATION, RESULTS, RISKS, ISSUES & PROGRESS TRRIP: https://gcdocs2.ci.gc.ca/otcs/cs.exe?func=ll&objaction=overview&objid=416999528 Executive Report: https://gcdocs2.ci.gc.ca/otcs/cs.exe?func=ll&objaction=overview&objid=418332543 PRODUCT READINESS SCORECARD https://gcdocs2.ci.gc.ca/otcs/cs.exe/link/413963043 RISKS Dashboard: https://gcdocs2.ci.gc.ca/otcs/cs.exe?func=ll&objaction=overview&objid=419788425 Register: http://gcdocs2/otcs/cs.exe?func=ll&objaction=overview&objid=377348264 ROADMAP: https://gcdocs2.ci.gc.ca/otcs/cs.exe?func=ll&objaction=overview&objid=395418564 BENEFITS: Framework (presentation to Transcom): https://gcdocs2.ci.gc.ca/otcs/cs.exe/properties/399784406 Benefits Profile: https://gcdocs2.ci.gc.ca/otcs/cs.exe/open/398174961

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TERMS OF REFERENCE
DIGITAL TRANSFORMATION PROGRAMME TEAM

MANDATE

The Digital Transformation Programme Team (DTPT)) is the leadership team responsible for delivering the full scope of Digital Transformation at IRCC. Digital Transformation is delivered by five (5) levers in the Transformation Programme: Digital Platform Modernization (DPM), Digital Journey Labs, Integrated Lean Transformation, Change Management Digital Industry Partnerships. The DTPT is also responsible for providing key integration across all working areas of the Transformation Office, which is led by the Transformation Office and the Transformation Engagement and Sustainability teams.

RESPONSIBILITIES

- **Supporting the Programme Managers** in the delivery of the programme activities and projects;
- **Providing a strategic overview** of all Transformation projects and interdependencies, and reporting upwards to senior management;
- **Financial Accounting:** Assisting the Programme Managers with budget control, maintaining status reports on all projects in the programme;
- **Ensuring visibility and accountability** for project deliverables and horizontal integration across the project teams;
- **Monitoring and Control:** Ensuring that the delivery of outputs or services from the projects meets programme requirements in line with the Programme Business Case and Programme Plan, and is to the appropriate quality, on time and within budget;
- **Tracking and Reporting:** Integrating all elements of the program to track measurements and report on progress against plans, as well as risks, issues and benefits;
- Quality Control: Establishing consistent practices and standards adhering to the programme governance arrangements;
- **Change Control:** Registering and analyzing requested programme changes;
- Carrying out **health checks and advising on solutions** during the lifetime of the programme and individual projects.
- **Benefits management:** ensuring benefits across all projects are brought together for integrated oversight and management;
- **Stakeholder Engagement:** Ensuring a consistent approach to stakeholder engagement, management and communication across the programme and all projects, maintaining a list of stakeholders and their interests; and
- **Information Management:** Holding master copies of all programme information, generating all necessary quality and assurance management documentation, maintaining, controlling, and updating programme documentation.

DECISION-MAKING AUTHORITY

As a sub-committee of the Digital Transformation Programme Board (DTPB), DTPB acts as a delegated decision-making authority. Inconclusive decisions at this Delivery Governance-level will require further direction and will be discussed at the Programme Governance-level (DTPB).

The principle for approvals is to align final approval level according to the impact/criticality of the deliverable/milestone.

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As such, project and programme decisions related to the Day-to-Day operations can be made by the TPTC and do not require additional governance approvals. Examples of these types of decisions include:

- Approval of the Programme Charter and Programme Preparation Plan
- Approval of the Programme Quality and Assurance plan
- Approval of Project plans
- Approval of Stakeholder Engagement and Communication plans

FREQUENCY OF MEETINGS

DTPT will meet bi-weekly; meetings will generally be held for a duration of two hours with the possibility of extension as required by the agenda. DTPT meetings will be held on alternating weeks with the DTPB meetings.

ADMINISTRATION

Membership

Co-Chairs
Director General, Transformation
Director General, Digital Strategy

Members
Director, Transformation Office
Director, Transformation Engagement and Sustainability
Executive Director, Digital Platform Modernization
Director, DPM – Phase 1 and 2, Stabilize and Standardize
Director, DPM – Phase 3
Director, Digital Industry Partnerships
Director, Integrated Lean Transformation
Director, Digital Journey Lab

Observer(s)
Senior Advisor, Office of the Assistant Deputy Minister Transformation and Digital Strategy / Chief Information Officer
Senior Advisor, Transformation Branch, Transformation Engagement and Sustainability

Attendance

When a co-chair is absent priority is given to the attending co-chair.

When both co-chairs are absent chairing of the meeting is the responsibility of the Director of the Transformation Office.

When a member is absent, only their actor will be permitted to attend on their behalf. No other substitutes will be allowed. It is expected that use of a designate will be kept to a minimum.

Quorum

A minimum of 50 percent of members (including replacements) must be present at any of its meetings to make the decisions valid. Final decision will be made by the co-chairs should members not reach an agreement.

Secretariat Support

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Coordination support for the DTPT is provided by Transformation Engagement and Sustainability (TES) including work planning, issue identification, forward agenda, reporting tools, quality control, meeting coordination, hospitality, and agenda management.

Meeting Material and Presentation

TES leads will provide the necessary meeting material to TPTC, 2 days prior to the scheduled presentation.

Evaluation

The Terms of Reference will be reviewed on annual basis during the summer period.

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Pages 24 to / à 85

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Presentation to the DM Committee on Core Services: *Operationalizing the disbursement of funds against outcomes-based milestones*

VERNON VON FINCKENSTEIN

CORE SERVICES ENABLING TEAM (CSET)

MARCH 23, 2021

A-2021-54784-000052

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Our objective:

To provide details on operationalizing the disbursement of funds against outcomes-based milestones

- On October 27, 2020, the Committee approved an outcomes-based approach to respond to the Government of Canada direction that "Access to funding from Treasury Board … will be milestone driven and based upon recommendations of the DM [Core] Committees" for ESDC BDM, ESDC Technical Debt Remediation and IRCC DPM.
- This presentation lays the groundwork for the Core Services initiatives to return to the Committee to seek endorsement of their milestones on their path to seek approval of the Treasury Board.

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Outcomes-based disbursement of funds: *What are we talking about?*

Our challenge: The Government of Canada needs to evolve to demonstrate value rather than (just) compliance to scope and schedule, to emphasize incremental releases over big bang, and to learn and adapt from iterative delivery.

Our response: Leveraging industry experience to better mitigate risk, we will introduce outcomes-based disbursement for Core Services initiatives:

- Departments access funds according to outcomes delivered.
- Treasury Board approves the funds and any related conditions for initiatives to access funds based upon outcomes delivered.
- The Committee provides recommendations to the authoritative body or official for the disbursement (i.e., release) of funds* based on milestones achieved in order for the initiative to proceed with future activities.
- This can be applied in the effective management of all approaches to transformation initiatives (e.g., programme management, project management, product management, Agile, etc.).

**NOTE: The process applies equally to different types of funds (e.g., operating or capital) and where there is special treatment of these funds (e.g., special purpose allotment).*

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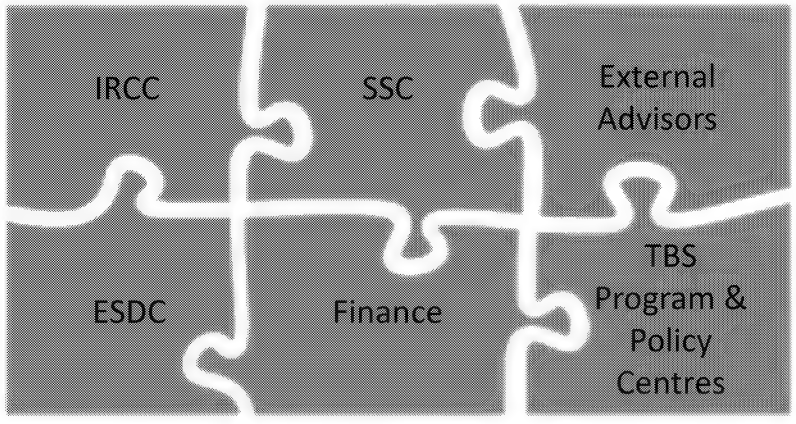
Collaboration informed how we operationalize outcomes-based disbursement of funds



- *Provides line of sight to Core Services initiatives*
- *Supports a risk-based approach*
- *Maintains ongoing operations and pace of the initiative*
- *Aligns with Treasury Board policies*

Respects roles and responsibilities and complements due diligence

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A sense of urgency of Senior Officials is required to ensure the successful operationalization of the proposed approach for outcomes-based access to funding

- Foster a balance between *policing* and *enabling* through this process
- Engage early to ensure appropriate identification of blocks and milestones for disbursement
- Agree to more frequent, targeted touchpoints to offset lesser, upfront detail
- Commit to timely and informed input to support direction-setting and decision-making
- Manage expectations for a process that will be as much of an *art* as a *science*

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Funds and milestones for the Core Services initiative

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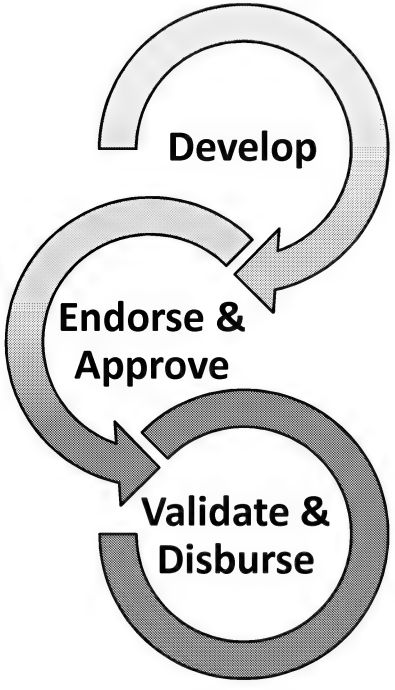
Making disbursement real: *What this looks like in practice*



- Core Services initiatives in consultation with Treasury Board Secretariat to group activities and funds into smaller-scale "blocks," identifying the associated outcomes-based milestone(s) for each block
  - Consideration is given to managing risk in the grouping of the activities and funding
- Core Services initiatives seek Committee endorsement of their proposed blocks of activities, funds, and milestone(s) to inform the submission in seeking approval of the Treasury Board
  - Consideration is given to controls, including governance and delegations
- Core Services initiatives execute activities and demonstrate realization of milestone to inform Committee recommendation to disburse funds for the next block, including segmentation of a block into further increments of funds and milestones or other corrective courses of action, as required*
  - Consideration is given to advancement, alignment and/or deviation against stated milestone

**When appropriate the Committee may recommend a return to Treasury Board*

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To sustain Core Services initiatives, we delineate enabling costs to manage the initiative from time-limited activities or projects costs

- Core Services initiatives have longer-term run costs to manage the initiative, and discrete, time-limited costs for activities or projects.
- To sustain operations and momentum, funds for these longer-term enabling costs need to be made available, without interruption, and should not be subject to disbursement through outcomes-based milestones.
- Time-limited costs would be subject to disbursement through outcomes-based milestones.

What does this look like in terms of Treasury Board authorities?

Treasury Board Secretariat to recommend Treasury Board authorities accordingly:

1. For enabling activities, longer-term expenditure authority, as required, AND related financial authority (i.e., no frozen allotments)
2. For block(s), longer-term expenditure authorities, as required, BUT frozen allotment(s) for financial authorities and related conditions:
   I. Delegated authority to release (i.e., who)
   II. Considerations for release, all or a part of (i.e., recommendation of Deputy Minister Committee on Core Services based on advancement against outcomes)

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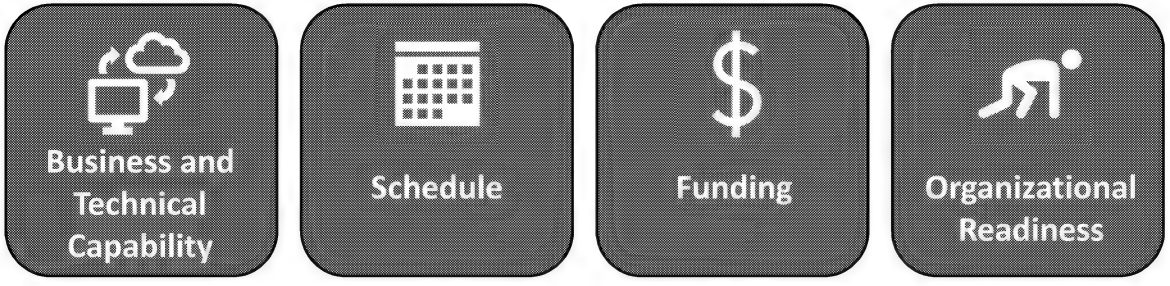
To manage risk, we will group funds into blocks of activities aligned with the value proposition and outcomes of the initiative

Based upon industry experience, four dimensions can influence how we segment funds into blocks.



See annex for further details on these dimensions.

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We will use relevant outcomes-based milestones for each block to measure the advancement of the Core Services initiatives

Specific: Outcomes should be defined in a way that makes it clear as to what they are trying to achieve, while minimizing the use of abstract or notional language that hinder their relevance.

Timebound: Outcomes should be tied to specific timelines to confirm they have a beginning and an end, and enable urgency and prioritization.

Measurable: Outcomes should be defined in a way that objectively demonstrates a change has occurred and that value is being realized, as this is critical component of continued funding.

Understandable: Outcomes are an important aspect of reporting and governance, and will be consumed by a broad audience – outcome definition should account for this.

Linked to Business Objectives: Outcomes should be granular enough to support iterative funding decisions, while demonstrating a clear link to higher order outcomes and objectives.

See annex for illustrative examples on outcomes.

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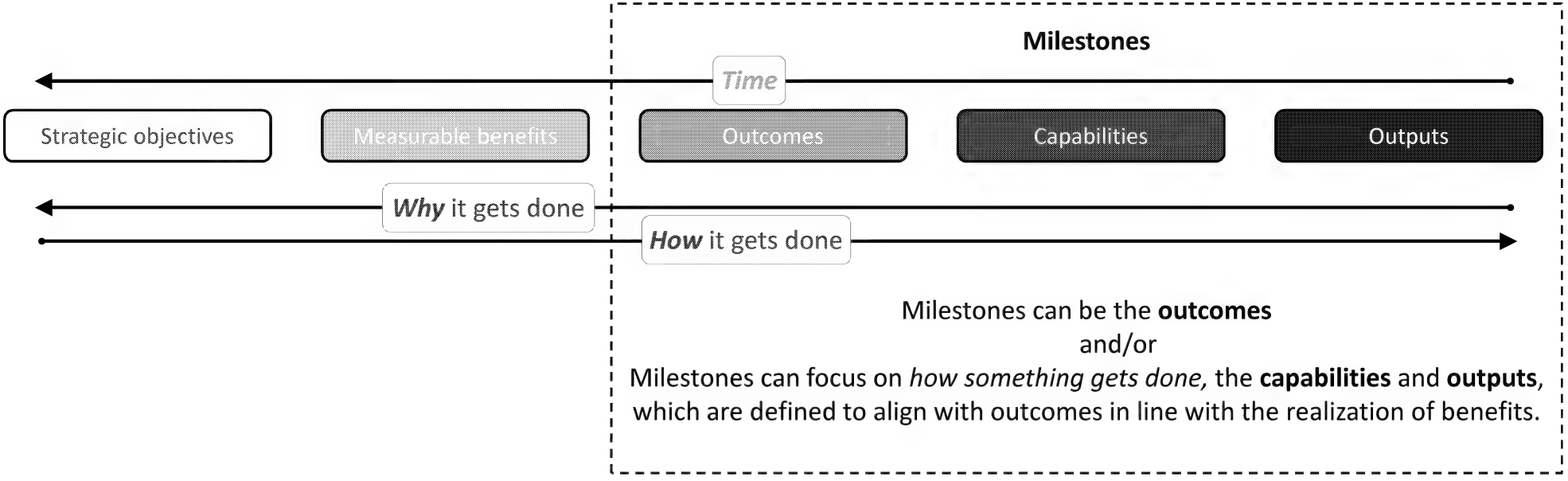
Milestones for the disbursement process in the context of benefits realization



This diagram has been adapted from MSP.

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Our upfront and ongoing discipline will set the stage in confirming the milestone has been achieved

Developing milestones:

- Identify relevant milestones that are clear and tangible, accurately assessable and are readily demonstrable (e.g., show-not-tell)
- Select milestones that are based upon information, which can support timely assessment

Validating milestones:

- Leverage the audit function, as required, to validate milestone realization
- Review and update the business case regularly in collaboration with key stakeholders, including the Committee, to confirm ongoing feasibility of milestones and to course-correct, where necessary
- Support early identification of risks to progress through ongoing assurance and audit activities, and periodic health checks and independent reviews, as appropriate

See annex for further details on assurance framework.

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The disbursement process

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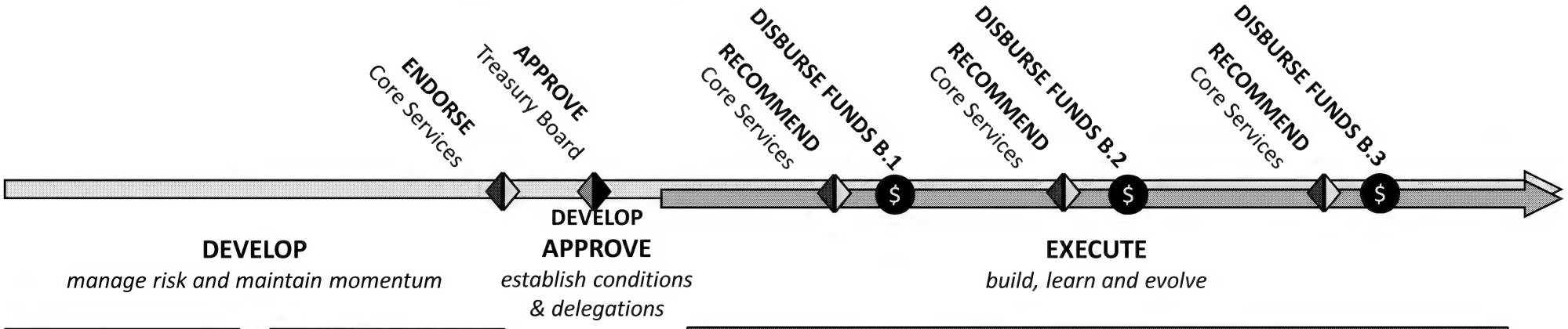
A framework to manage risk through incremental validation of advancement

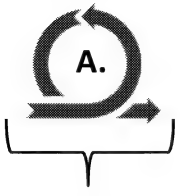


DELINEATE FUNDS | BLOCK | VALIDATE - RECOMMEND – DISBURSE / ADJUST

Disbursement

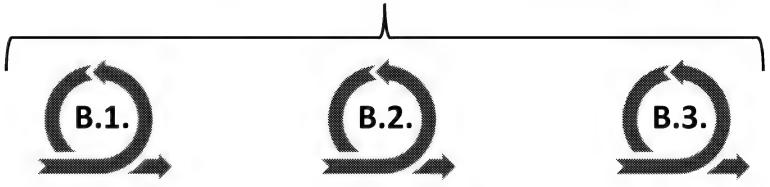
A. $ & Milestone

B. $ & Milestone



Example. Block A funding disbursed through TB approval

Example. Block B segmented in response to evolving understanding



- Group activities and funds into "blocks" to manage risk, identifying outcomes-based milestone(s) for each block in collaboration with stakeholders

- Confirm milestone achievement in collaboration with stakeholders, segment block into further increments and/or revisit business case, as required
- Where milestones are not realized, the Committee may recommend the Core Services initiative seek appropriate direction prior to advancing

See annex for further details.

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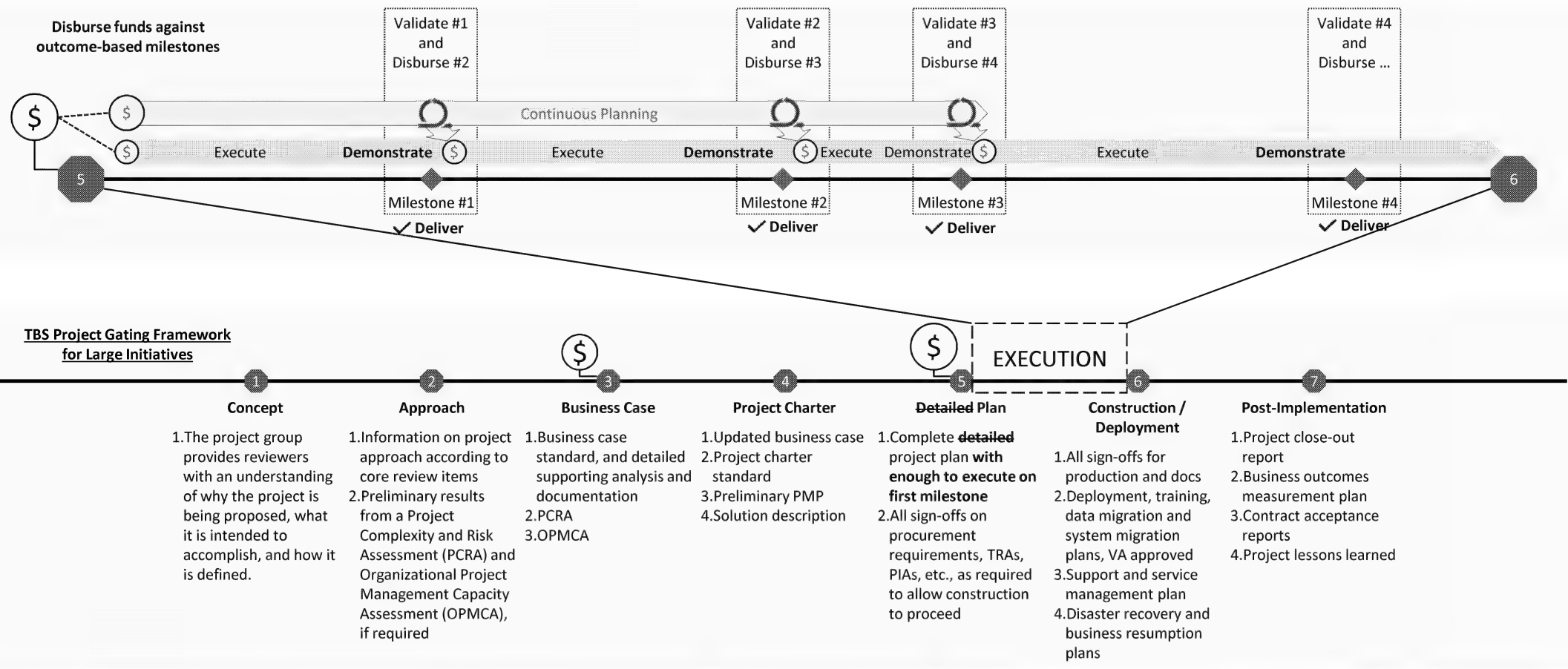
Shifting to a focus on outcomes and delivery, from a focus on gates and artefacts



Concept

1. The project group provides reviewers with an understanding of why the project is being proposed, what it is intended to accomplish, and how it is defined.

Approach

1. Information on project approach according to core review items
2. Preliminary results from a Project Complexity and Risk Assessment (PCRA) and Organizational Project Management Capacity Assessment (OPMCA), if required

Business Case

1. Business case standard, and detailed supporting analysis and documentation
2. PCRA
3. OPMCA

Project Charter

1. Updated business case
2. Project charter standard
3. Preliminary PMP
4. Solution description

~~Detailed~~ Plan

1. Complete ~~**detailed**~~ project plan **with enough to execute on first milestone**
2. All sign-offs on procurement requirements, TRAs, PIAs, etc., as required to allow construction to proceed

Construction / Deployment

1. All sign-offs for production and docs
2. Deployment, training, data migration and system migration plans, VA approved
3. Support and service management plan
4. Disaster recovery and business resumption plans

Post-Implementation

1. Project close-out report
2. Business outcomes measurement plan
3. Contract acceptance reports
4. Project lessons learned

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Applying dimensions to identify blocks and milestones: The analogy of building a house

Criteria for Disbursement Approval

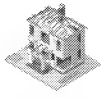
- Before construction can begin, property, mortgage pre-approval, permits and licenses are secured, and blueprints are defined
- A reassessment takes place at the end of every block of work to review if the plan is still sustainable or changes are required
- Funding for the next block of work is provided only if there is a physical demonstration of the expected milestones being achieved
- Amount of funding required for the next block is based on attaining a particular milestone, taking into considering each dimension and any changes to the original blueprint
- Risks are determined and mitigated as best as possible before next disbursement

Milestone and examples on how dimensions can influence blocks

Laying the Foundation

Milestone – Foundation is fully set, within specifications, and ready for builders

Readiness – Availability of the required resources, materials and equipment



Framing, Siding, Roofing and Insulation

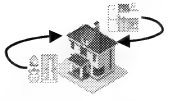
Milestone – Structure of the home is built, meets specs and ready for internal construction

Technology – Choice of materials will affect the cost, aesthetics, durability, and ease of maintenance over time

Floors, Plumbing and Electrical

Milestone – Floors are built, plumbing and electrical in place and safety inspection is passed

Schedule – Based on complexity of work and expert timeline estimates, this work can be done in the fall and must consider availability of resources



Kitchen and Bathroom Installation, Painting

Milestone – Fixtures are installed and working/ready for use and all rooms are painted

Funding – Determined by expert estimates plus contingency; purchase of home fixtures and installation costs may vary depending on demand and quality

Completion

Milestone – Final inspection is passed, and the home is move-in ready

Readiness – Dependent on remaining work, contract extensions should have been signed in previous block for execution in completion stage

Expected Outcome: Build a move-in ready home

Funds for Disbursement

Value

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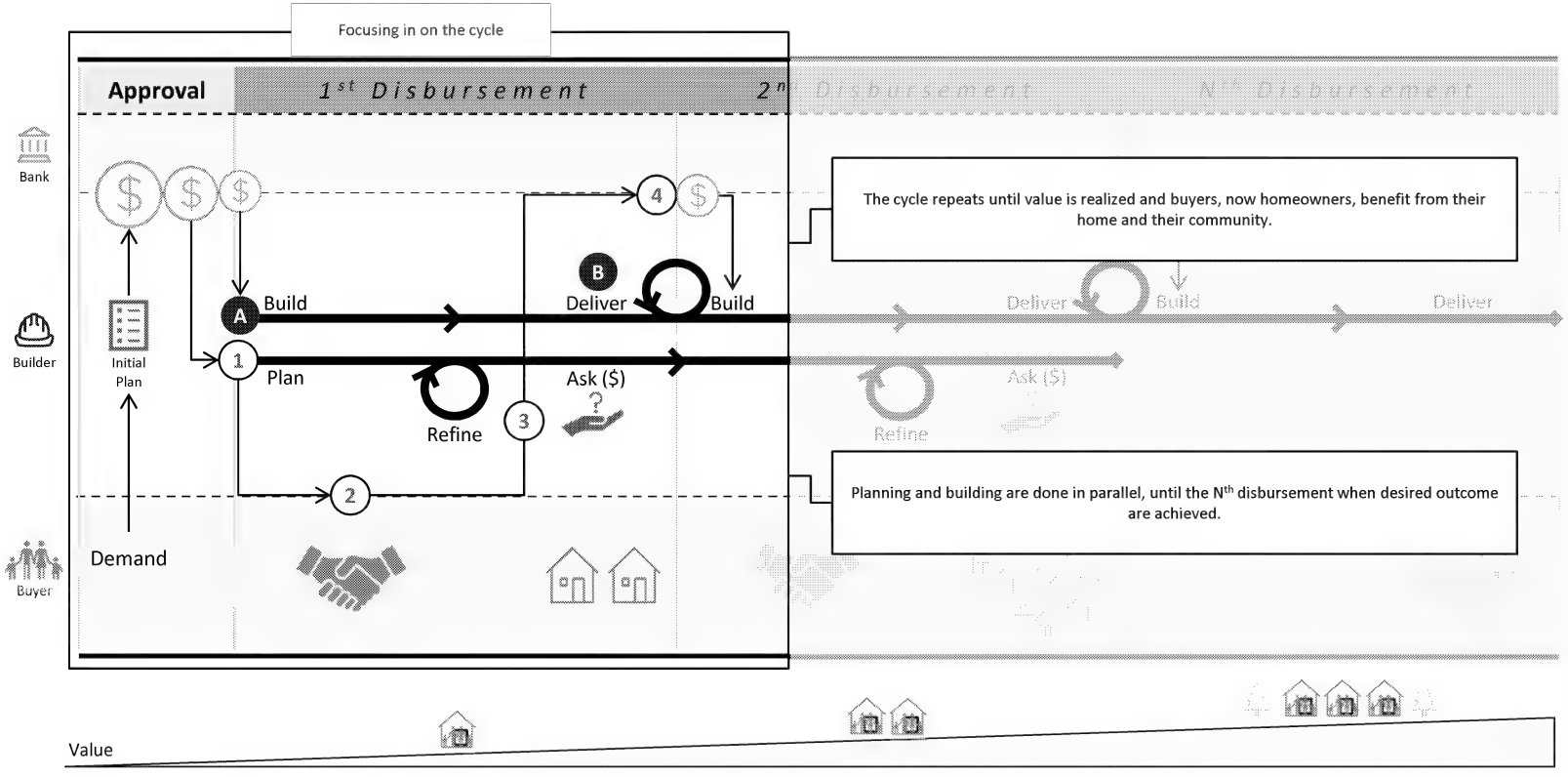
Building towards incremental benefits realization: The analogy of developing a neighborhood.



Desired outcome for the neighborhood

Create a neighborhood for 15 families to call home and build a sense of community.

Approval

The bank approves the total funding amount based on the builder's initial neighborhood plan and holds onto the money.

1. The **builder receives funding** from the bank for managing and planning the development (funded once for the duration of the initiative).

Continuous planning (iterative)

2. The **builder assesses demand from buyers to refine the neighborhood plan**: identifying the next type of houses to build and designing the community greenspace.
3. The **builder requests the next disbursement** to develop the neighborhood based on the refined plan.
4. The **bank assesses the plan** for the next round of building / development.

Go back to step 2.

Iterative disbursement and incremental delivery

A. The **builder receives a disbursement of funds** to develop the land and build the houses that will be delivered to buyers.

B. The **builder delivers** the houses to buyers so that they can move in, benefiting from their purchase.

Go back to step A.

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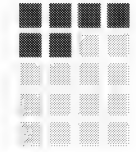
Following the disbursement of funds

Develop

Define value proposition

Delineate costs



Define blocks

A Core Services initiative sets its value proposition and **defines a specific set of outcomes**.

It requests $100 and the necessary authorities to deliver on the detailed outcomes.

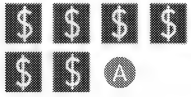
It further **estimates costs of $20 to manage the initiative and $80 for discrete, time-limited costs for projects and activities**.

Activities are grouped into blocks based on milestones that deliver on the defined outcomes.

Endorse & Approve

Approve the submission

Allocate the funds



Fund the first block

The **initiative and funding of $100 is approved** with supporting conditions and delegations, as required.

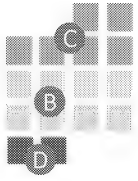
Enabling costs of $20 are funded without interruption to ensure the pace and momentum of the initiative is maintained.

The **block A is funded for $20 to initiate the work** based on near-term high-confidence delivery.

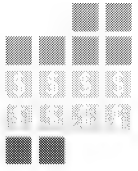
The **remaining $60 is allocated into blocks for future disbursement**.

Validate & Disburse

Review



Recommend



Disburse

Progress for block A is demonstrated and validated against stated outcomes.

Blocks are refined based upon evolved understanding and recommendations; as part of ongoing planning and course correction, block B is segmented into discrete blocks - block C and block D.

Block B is funded ($30) while Blocks C and D ($15 each) are still being planned.

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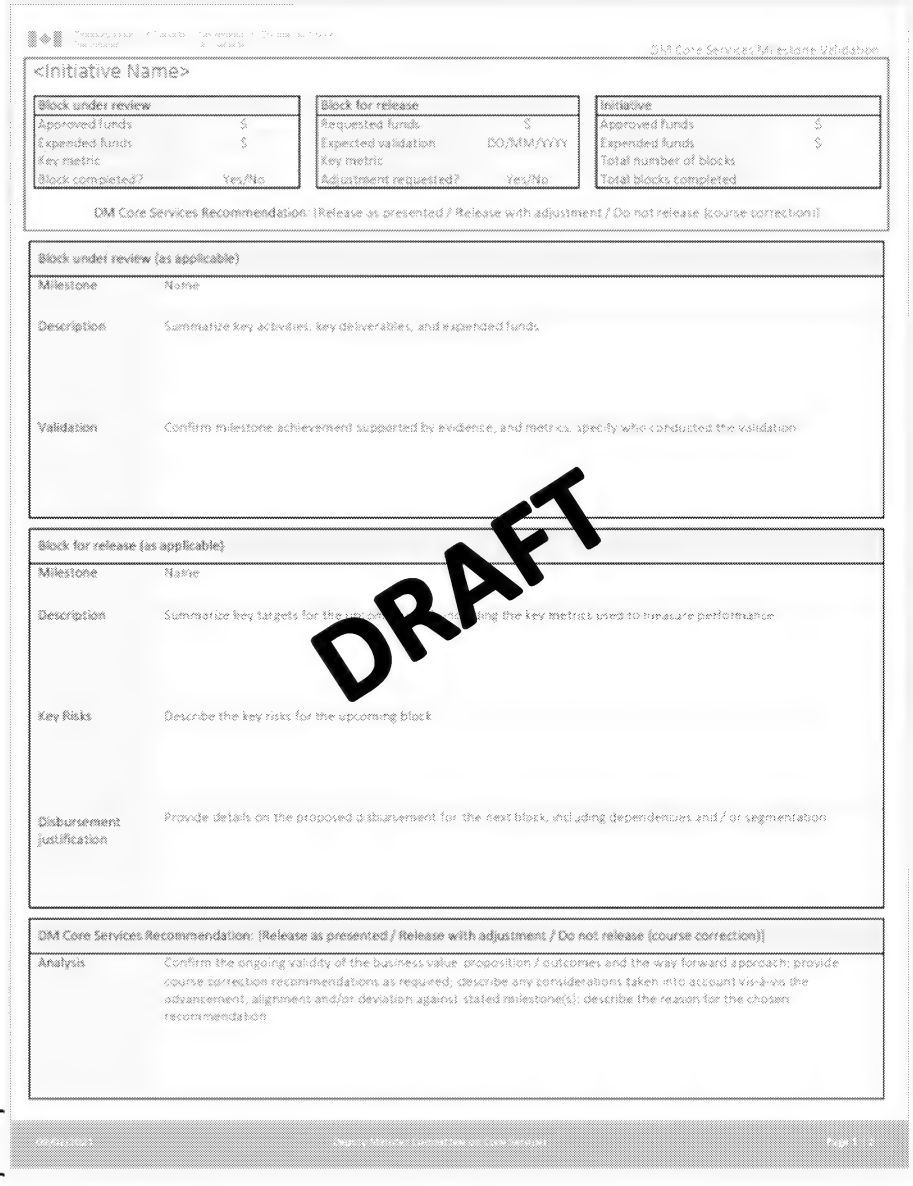
We will focus existing information for the Committee, including external advice



DM Core Services Milestone Validation

<Initiative Name>

Block under review		Block for release		Initiative	
Approved funds	$	Requested funds	$	Approved funds	$
Expended funds	$	Expected validation	DD/MM/YYYY	Expended funds	$
Key metric		Key metric		Total number of blocks	
Block completed?	Yes/No	Adjustment requested?	Yes/No	Total blocks completed	

DM Core Services Recommendation: [Release as presented / Release with adjustment / Do not release (course correction)]

Block under review (as applicable)	
Milestone	Name
Description	Summarize key activities, key deliverables, and expended funds
Validation	Confirm milestone achievement supported by evidense, and metrics, specify who conducted the validation

Block for release (as applicable)	
Milestone	Name
Description	Summarize key targets for the upcoming block, including the key metrics used to measure performance
Key Risks	Describe the key risks for the upcoming block
Disbursement justification	Provide details on the proposed disbursement for the next block, including dependencies and / or segmentation

DM Core Services Recommendation: [Release as presented / Release with adjustment / Do not release (course correction)]	
Analysis	Confirm the ongoing validity of the business value proposition / outcomes and the way forward approach; provide course correction recommendations as required; describe any considerations taken into account vis-à-vis the advancement, alignment and/or deviation against stated milestone(s); describe the reason for the chosen recommendation

DRAFT

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Due diligence and oversight are integral to the disbursement process for Core Services initiatives

- **Treasury Board** approves authorities, including funds for disbursement, associated blocks and milestones, and related delegations.
- **Deputy Minister Committee on Core Services** endorses the blocks and milestones, and, following Treasury Board approval, provides recommendation for the disbursement of funds against milestones and/or adjustments.
- **Departmental governance** develops proposed funds for disbursement, associated blocks and milestones, in collaboration with key stakeholders, and tracks and assesses against these milestones in advancing their initiative.
- **Treasury Board Secretariat** supports Core Services initiatives in developing blocks and milestones and provides recommendation to Treasury Board on the initiatives, including liaising with the Department of Finance, as required. And, then supports in confirming milestone achievement and considering any adjustments, releasing of funds, and oversight of relevant projects and activities.

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Next Steps

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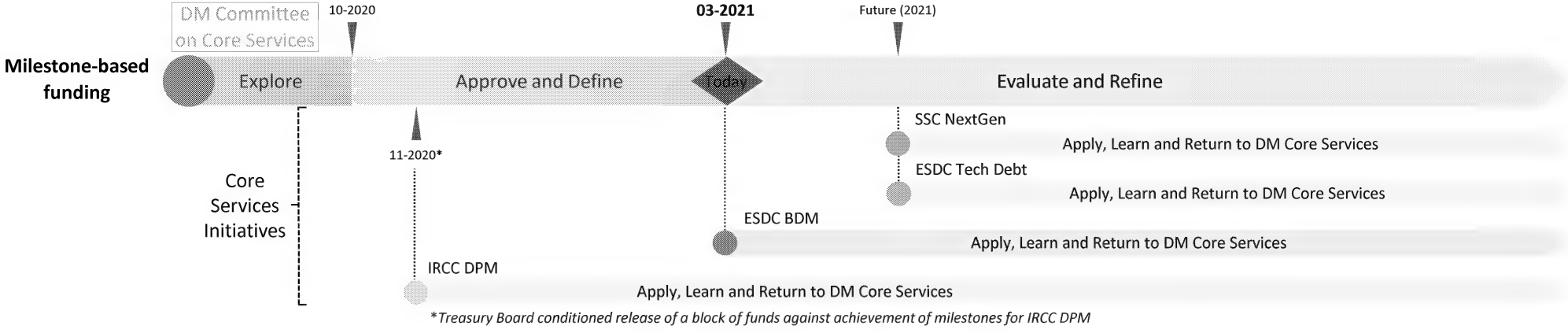
Next steps

Core Services initiatives with the support of CSET will work with Treasury Board Secretariat to apply the approach outlined in this presentation, as they develop their Treasury Board submissions.



Each Core Services initiative would return to **seek endorsement of the Committee** of their proposed bundles and milestones on the path to **seek approval of the Treasury Board**.

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Annex

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Dimensions that influence our decisions to segment funding into blocks (1 of 2)

Dimension*	Value	Considerations
Funding	Establishing blocks based on smaller or incremental funding amounts as opposed to a big bang investment of the entire initiative cost helps: • Drive transparency on how money is being spent • Contain schedule, resource and technology risk within the blocks • Identify budget shortfalls sooner	• Applicable to all management approaches (e.g., programme management, project management, etc.) • The arbitrary nature of selecting a funding amount to segment funds into blocks may artificially split longer-term or ongoing efforts, and challenge the identification of meaningful and assessable milestones along the continuum of an initiative ❑ *What percentages do the blocks represent of the total initiative cost?* ❑ *At what intervals (e.g., time and activities) do the blocks align with the overall initiative plan?* ❑ *Do the blocks align with points in activities, which provide opportunity for adjustment and/or course correction?* ❑ *Do the blocks identify milestones which are meaningful, measurable, and can be assessed in a timely manner?* ❑ *How do the blocks mitigate risk / assuage concerns?*
Business and Technical Capability	Establishing blocks based upon required changes in technology, existing or new, can help in: • Addressing complexity and uncertainty of implementation • Mitigating identified risks early in the initiative • Aligning disbursement blocks against spend budget	• Applicable to all management approaches • Consideration needs to be given to technology decisions to apply in the segmentation of funds into blocks to ensure meaningful, timely and assessable milestones along the continuum of an initiative ❑ *How do the technology component(s) within the blocks fit within the overall initiative plan?* ❑ *What dependencies have been factored into the identification of the blocks and how?* ❑ *Do the blocks align with points in activities which provide opportunity for adjustment and/or course correction?* ❑ *Do the blocks provide milestones and/or outcomes which are tangible and can be assessed in a timely manner?* ❑ *How do the blocks mitigate risk, and/or address/reflect uncertainty?*

**Dimension: What initiatives are measured against to determine an appropriate disbursement cadence that minimizes risk*

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Dimensions that influence our decisions to segment funding into blocks (2 of 2)

Dimension*	Value	Considerations
Schedule	Establishing blocks based on shorter time intervals as opposed to longer interval touchpoints allows for: • Early identification of key milestone/outcome dates • Assessing whether delivery is on track earlier to mitigate risks proactively if they arise • Confirming/validating in advance if there needs to be a change to the next disbursement block	• Straightforward and applicable to all management approaches • The overall timeline of the initiative sheds light on potential dependency risks with respect to availability of people and technology resources • The arbitrary nature of selecting a timing interval to segment funds into blocks may artificially split longer-term or ongoing efforts, and challenge the identification of meaningful and assessable milestones along the continuum of an initiative ❑ *How do the durations of the blocks compare against the overall initiative timeline?* ❑ *Have dependent activities and initiatives been factored into the identification of the timing of the blocks?* ❑ *Do the blocks align with points in activities, which provide opportunity for adjustment and/or course correction?* ❑ *Do the blocks identify milestones which are meaningful & measurable, and can be assessed in a timely manner?* ❑ *How do the durations of the blocks mitigate risk or address uncertainty?*
Organizational Readiness	Establishing blocks based on organizational readiness can assess whether an initiative is well-positioned to deliver on its value proposition and minimize potential delivery risks by defining and securing appropriate capacity and capabilities (internal and external). This allows for: • Early identification of procurement risks • Alignment of funds to initiative readiness criteria • Ensuring availability of critical internal resources	• While straightforward and applicable to all management approaches there is complexity in aligning organizational readiness into blocks that support meaningful and assessable milestones • Improper resource allocation and lack of visibility on readiness may directly impact longer-term or ongoing efforts ❑ *How has organizational readiness been factored into the identification of the blocks?* ❑ *How do the blocks fit within the overall initiative plan?* ❑ *What activities and deliverables fall within each block?* ❑ *Do the blocks provide milestones and/or outcomes which are tangible and can be assessed in a timely manner?*

**Dimension: What initiatives are measured against to determine an appropriate disbursement cadence that minimizes risk*

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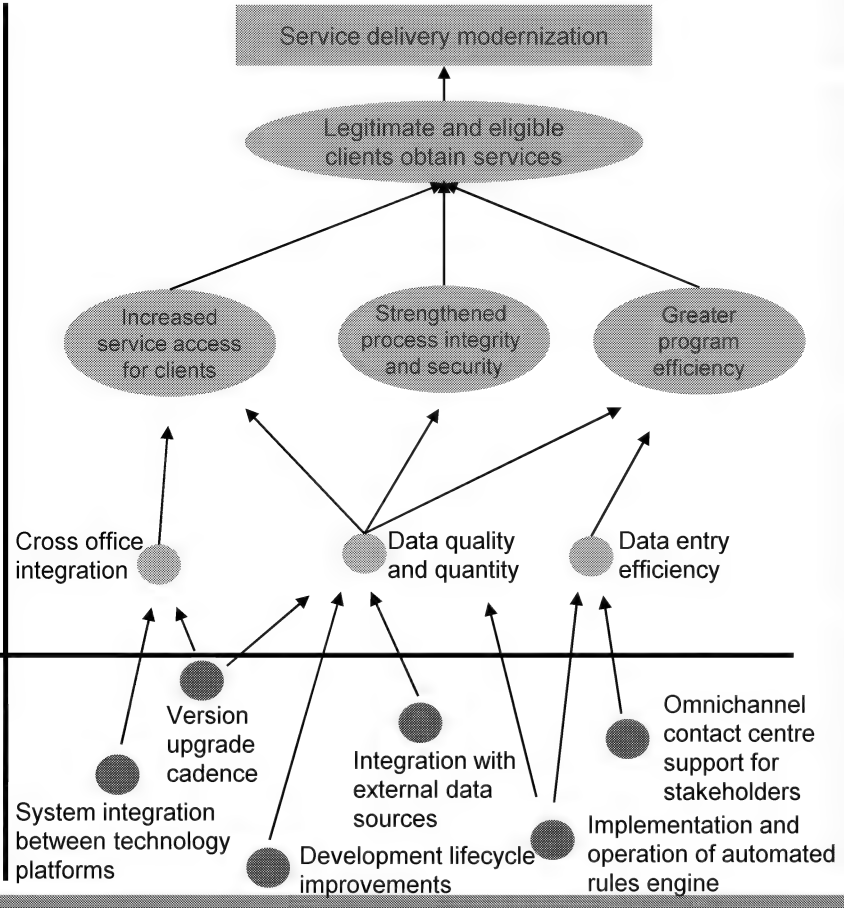
Example of stacked metrics that support delivery of a desired business outcome and thus departmental priority

Above the Line Objectives:
Business Outcomes at Varying Levels of Detail

Below the Line Objectives:
IT Operational Outcomes that Enable Business Outcomes



Departmental Priority (Ministers and Deputies)
Continue to effectively and efficiently deliver service to eligible recipients

Business Outcome (Treasury Board Submissions)
Defined service quality and service delivery targets are achieved

Business Outcome-Driven Metrics (Releases)
By March 2021:
- 95% of issuing offices offer 10-day service standard
- 98% of clients are satisfied with their service experience
- 100% of client applications are validated by trusted sources
- 95% of client applications are processed via end-to-end automation

Technology Outcome-Driven Metrics (Releases)
By January 2021:
- 25% decrease in end-user time to complete applications
- 50% increase in the volume of data leveraged to conduct application assessments
- 25% improvement in data quality (per quality scorecard)

Technology Operational Metrics (Releases or Operations)
By November 2020:
- 99.99% availability and 100ms response times for training and production environments
- <0.5% error rate for transactions relying on external data sources
- 25% reduction in time-to-production for development changes
- Monthly upgrade cadence involving 1 major OR 3 minor enhancements

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Funding amounts for blocks and milestones

- **Treasury Board** approves the maximum funding amount(s) that can be expended in implementing a transformation initiative.
- **Treasury Board policies and guidance** lay out requirements (e.g., rough order of magnitude, indicative costing, and substantive costing) required in costing of transformation initiatives.
- **The amounts identified for blocks cumulatively cannot exceed the total funding amounts approved by the Treasury Board and may be informed by Treasury Board policies and guidance.**

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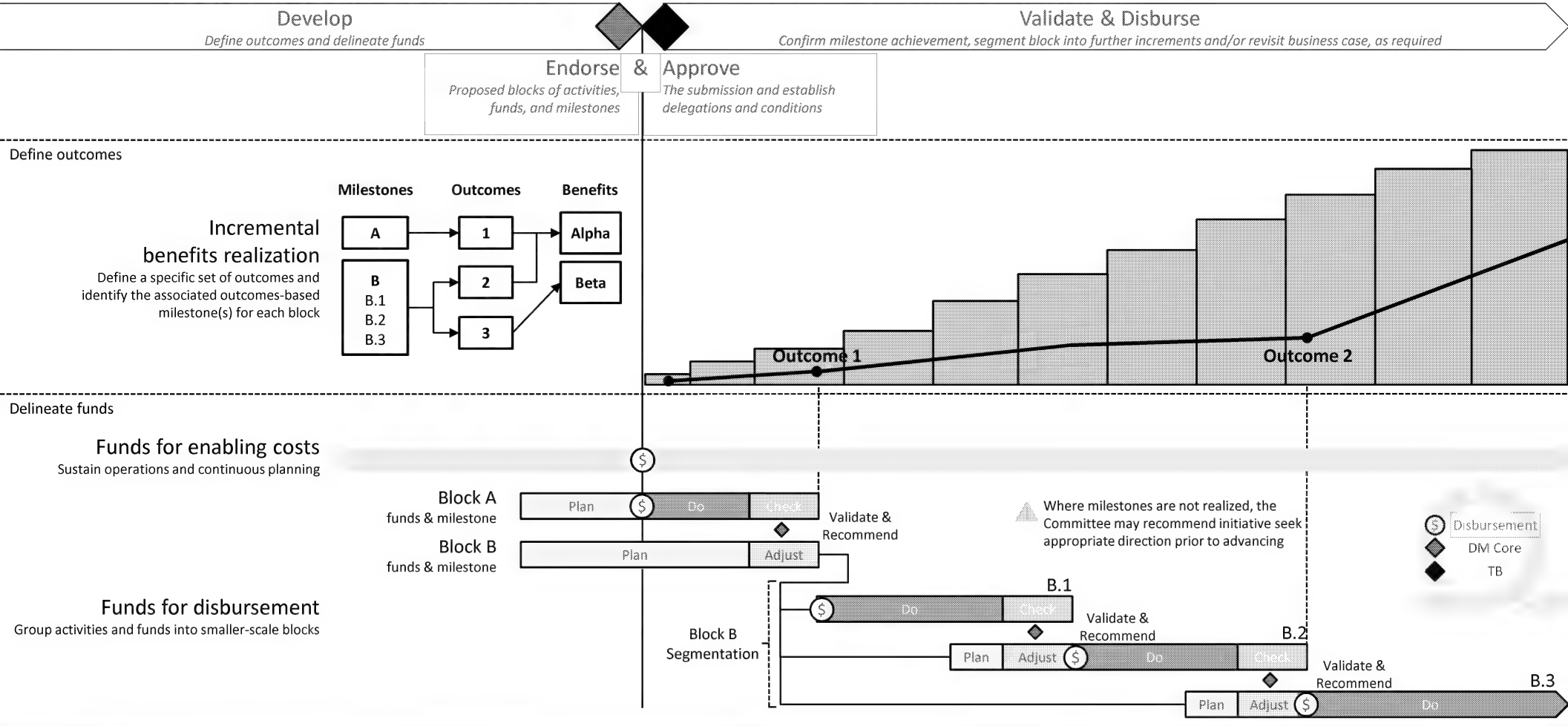
A closer look: Building towards incremental benefits realization



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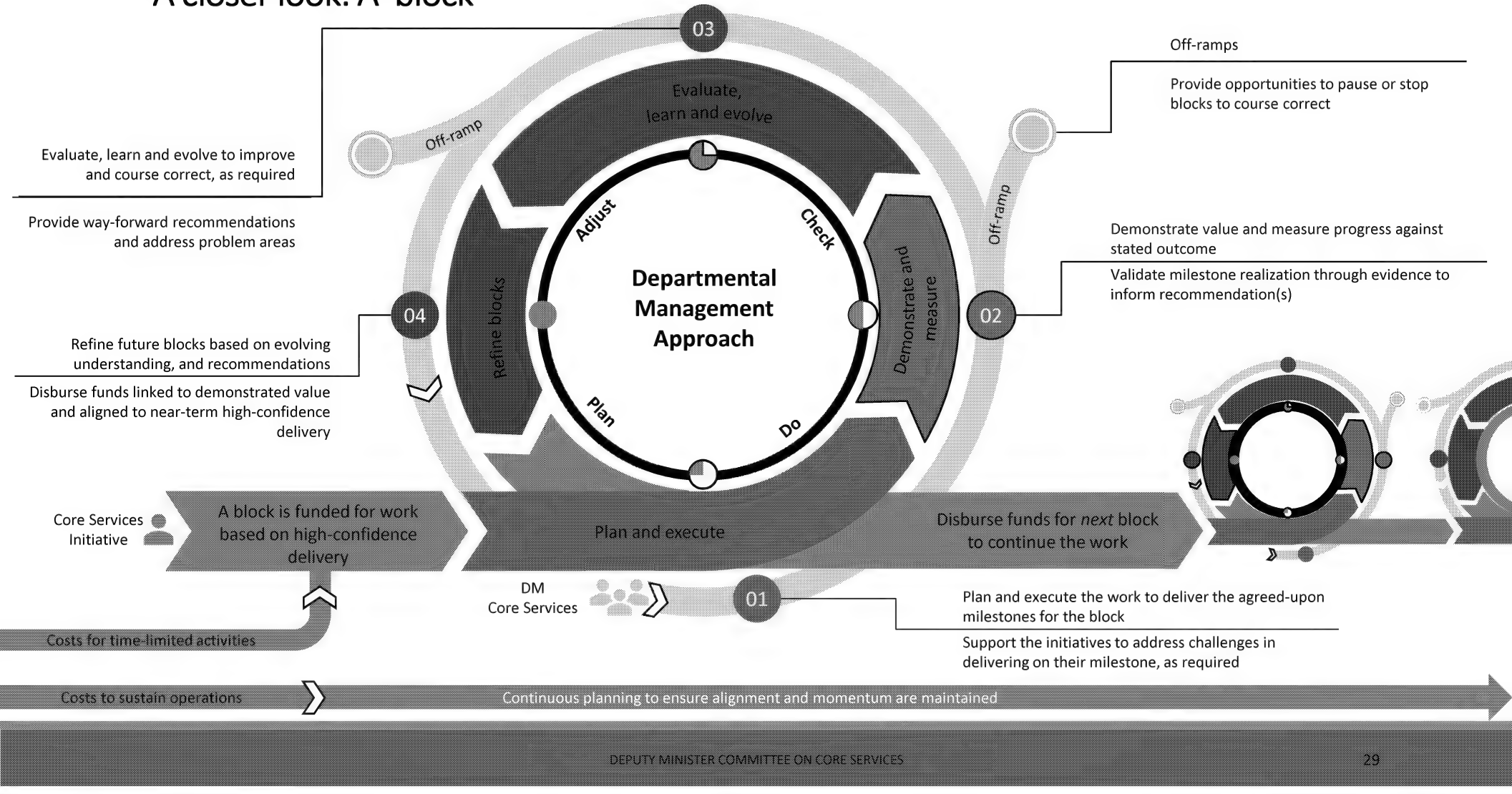
A closer look: A block



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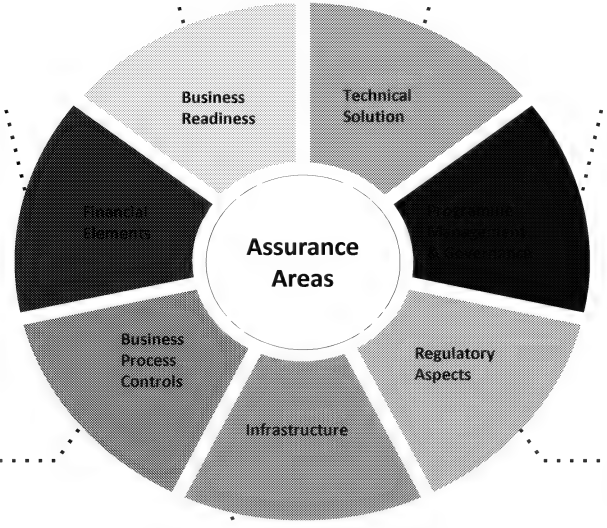
Departments are building nimble assurance capacity to intercept the opportunities to provide near real-time, risk-based support on the following…

Business Readiness
- Change Management & Training
- Business Buy-In
- Capacity Management
- Go-Live Sustainability
- Target Operating Model

Technical Solution
- Solution Architecture
- Data Architecture & Data Management
- Quality Assurance & Testing
- Issue Management & Resolution
- IT Security & Cyber

Assurance Provided by:
- SDO
- IA
- CFO
- OCIO
- IPMPD

Financial Elements & Funding
- Budget to Actuals to Projection
- Controls over financial reporting
- Scope Management
- Milestone Funding Validation
- Capability Creation



Programme Management & Governance
- Business Case
- Benefit Realization
- Programme Governance & Decision Making
- Programme KPIs
- Risk Management
- Programme Gates
- Culture & Behaviors
- Resource Management
- Procurement and Vendor Management

Assurance Provided by:
- SDO
- IA
- OCIO
- IPMPD

Business Process Controls
- Design of key controls within business processes
- Design of IT General Controls within system

Regulatory Aspects
- Compliance to regulatory requirements
- Privacy of information

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Applying milestones-based disbursement of funds

CORE SERVICES ENABLING TEAM (CSET)

TREASURY BOARD SECRETARIAT

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Concerns with recent large IT failures have led the Government of Canada to establish enabling support and more regular line of sight into major transformation initiatives.

In response, the Deputy Minister Committee on Core Services is implementing an outcomes-based approach providing "Access to funding from Treasury Board … [that] will be milestone driven and based upon recommendations of the DM [Core Services] Committees".

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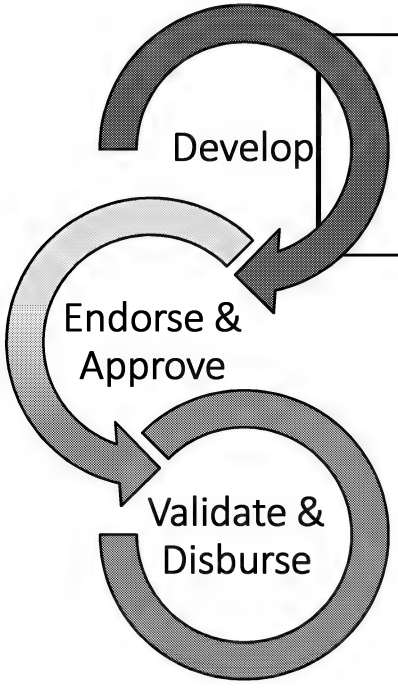
Making disbursement real: What this looks like in practice



This is where we will focus

- Core Services initiatives in consultation with Treasury Board Secretariat to group activities and funds into smaller-scale "blocks," identifying the associated outcomes-based milestone(s) for each block
  - Consideration is given to managing risk in the grouping of the activities and funding
- Core Services initiatives seek Committee endorsement of their proposed blocks of activities, funds, and milestone(s) to inform the submission in seeking approval of the Treasury Board
  - Consideration is given to controls, including governance and delegations
- Core Services initiatives execute activities and demonstrate realization of milestone to inform Committee recommendation to disburse funds for the next block, including segmentation of a block into further increments of funds and milestones or other corrective courses of action, as required*
  - Consideration is given to advancement, alignment and/or deviation against stated milestone

**When appropriate the Committee may recommend a return to Treasury Board*

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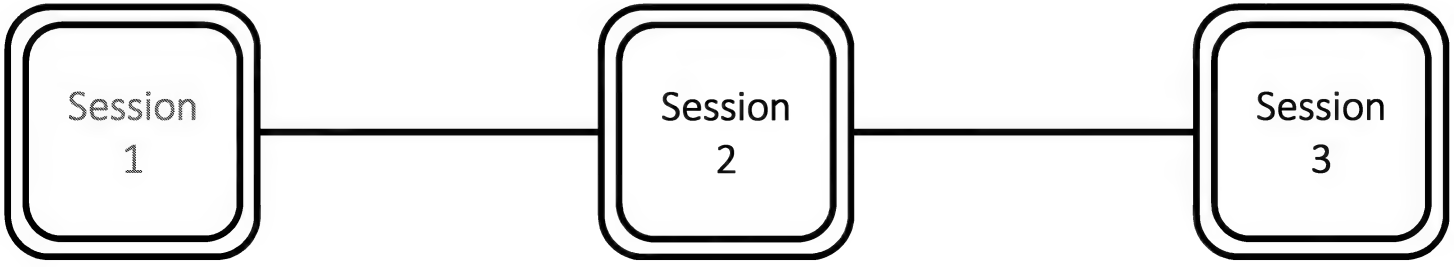
Approach for defining your milestones



Discover
50 minutes

Deep-dive into current thinking of milestones-based disbursement of funds and Q&A.

Delineate and Define
80 minutes

Delineate and define funding blocks and milestones. Working session on applying milestones-based disbursement to the initiative.

Review
50 minutes

Review and refine funding blocks and milestones. Working session on proposed funding blocks and milestones for the initiative.

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Getting started: Meaningful dialogue will require depth of knowledge from across functional areas

- Perspectives across multiple functional areas are needed to:
  - collaborate towards a shared and complete understanding of how the initiative will achieve its outcomes in the business and technical context;
  - ensure informed input into defining, seeking approval of, and achieving tangible milestones; and,
  - avoid common planning fallacies such as confirmation bias, optimism bias, etc.

Key perspectives to consider

- ❑ User
- ❑ Strategy
- ❑ Architecture
- ❑ Technology
- ❑ Data
- ❑ Funding
- ❑ Approach (project / programme / product / etc.)
- ❑ Planning, costing, estimating
- ❑ Results (benefits / outcomes)
- ❑ Change management, communications, engagement
- ❑ Human resources (capability / capacity)
- ❑ Governance, oversight
- ❑ Risk, assurance and audit
- ❑ Procurement (incl. professional services)
- ❑ Partner (System integrators)
- ❑ Central agency (TBS / SSC / PSPC / etc.)

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Setting the stage: Key questions to begin each session

Session 1
Discover

- Do we have everyone we need here today? Who is at the table today and will these individuals be part of the full process?
- Who knows about the Deputy Minister Committee on Core Services? Linking of funding to the achievement of milestones?
- What are the timelines for key decision points, including governance?
- What instructions or expectations has senior management provided? How are you managing internal engagement and briefings to senior management and governance?
- Have you engaged TBS Program Sector on applying milestones?

Session 2
Delineate and Define

- Do we have everyone we need here today? Who is new to the session?
- Are there any questions, knowledge-based or otherwise, in follow-up to Session 1?
- Has any direction been provided by key stakeholders on applying milestones to your initiative? For example, Deputy Head, senior officials and/or initiative governance, TBS Program Sector, etc.

Session 3
Review

- Do we have everyone we need here today?
- Are there any questions, knowledge-based or otherwise, in follow-up to Session 1 or Session 2?
- Where has the proposed milestones plan been socialized? Has this been considered by the 'right' people?
- Is the initiative able to demonstrate capacity and readiness to monitor and validate the proposed milestones?

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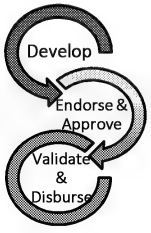
Proposed steps to support your initiative in developing milestones



	Preparation	Session 1	Session 2		Session 3
	Assemble	**Discover**	**Delineate**	**Define**	**Review**
	I	II	III	IV	V
	Review initiative benefits map / logic model and consider planned activities and resources against outcomes. Identify participants who should contribute. Assemble the information.	Establish an understanding of what outcome-based milestone disbursement is and how it affects your initiative, for all SMEs that will define milestones, activities and the delineation of funds.	Delineate funds between those which would be subject to disbursement through outcomes-based milestones, and the enabling costs, which would not.	Define and prioritize funding blocks and milestones leveraging the four dimensions, ensuring alignment of milestones to outcomes and the ability to track and validate against proposed metric(s).	Review and refine draft milestones plan, including stakeholder feedback, as required, to support preparation for further engagement and decision-points moving forward.
Outputs	❑ Decomposed outcomes (e.g., outputs, deliverables / capabilities, activities, etc.)	❑ Team Identified ❑ Information assembled	❑ Prioritized milestone(s), which are tangible, results / delivery-oriented ❑ Defined blocks for each milestone ❑ Metrics / acceptance criteria for each milestone that can be monitored and validated in (near) real-time ❑ Draft milestone plan for review ❑ Test and refine plan		❑ Milestone plan with a defensible narrative as to the defining of funds and milestones ❑ Assuredness of the capacity and readiness to monitor and validate the proposed milestones

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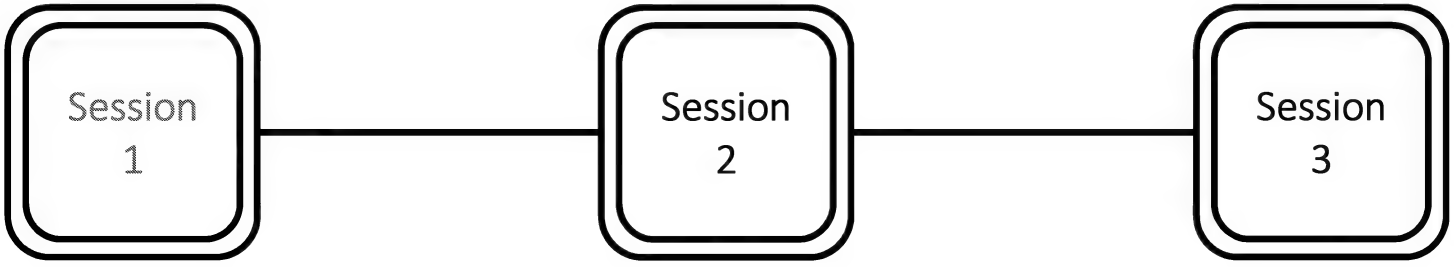
Next steps: Your homework to prepare for each session



Discovery

Engage and raise awareness

Assemble information sources and subject matter experts

Confirm approaches and timelines for decision-points, governance, and briefings to senior officials

Delineate and Define

Assemble information sources and subject matter experts

Provide an overview of milestone-funding to SMEs (as required)

Solicit (early) direction and expectations from key stakeholders

Review

Secure feedback from key stakeholders

Confirm audit and assurance readiness to monitor and validate

Prepare draft milestones plan

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Elaboration of key concepts

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Lexicon of key terms

Activity: An activity is how a program carries out it's work to reach an outcome (e.g., negotiating, consulting, inspecting etc.)

Benefit: Measurable improvement resulting from an outcome that is an advantage to stakeholders and contributes to the overall outcomes

Block: A grouping of associated activities and allocated funds against its related milestone

Capability: A service, function or operation that enables an outcome to be delivered (e.g., policies, modules etc.)

Milestone: A point in time where value and progress can be tangibly demonstrated against outcomes

Outcome: The desired result of a change

Output: Goods and services produced by the program (e.g., advice given, information provided etc.)

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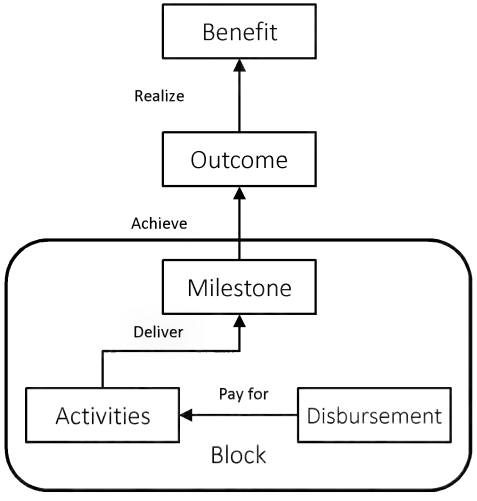
Key Concepts

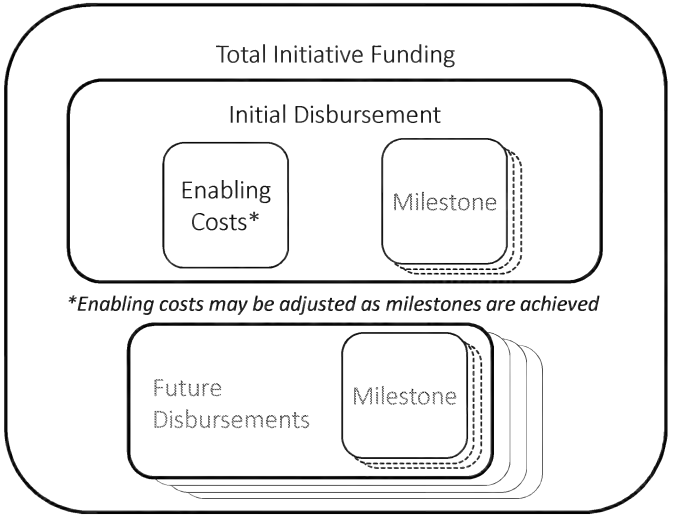
Defining blocks and milestones is a collaborative effort, lead by the initiative. Key stakeholders provide input to ensure they are right-sized and achieve outcomes.

Relationships



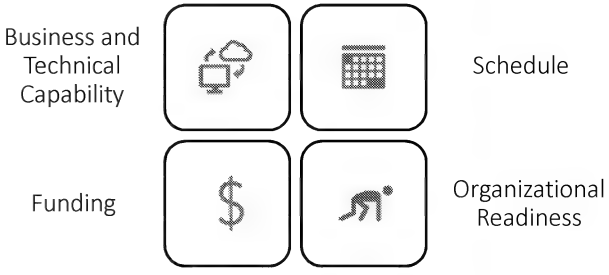
Activities and disbursement amounts are defined for each milestone which achieves part of, all, or many outcomes. Milestones are tangible, and results / delivery-oriented.

Delineation



The totality of an initiative's funding is approved by Treasury Board. The initial disbursement funds the enabling costs and the first milestone(s). Subsequent milestones are subject to ongoing disbursement.

Dimensions to define milestones



Four dimensions guide the definition of a milestone but may not impact all milestones equally.

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We begin by delineating enabling costs to manage the initiative from time-limited activities or projects costs

- Core Services initiatives have longer-term run costs to manage the initiative, and discrete, time-limited costs for activities or projects.
- To sustain operations and momentum, funds for these longer-term enabling costs need to be made available, without interruption, and should not be subject to disbursement through outcomes-based milestones. (Note as milestones are achieved there may be adjustments required to the enabling costs.)
- Time-limited costs (i.e., the investments that create the 'change') would be subject to disbursement through outcomes-based milestones.

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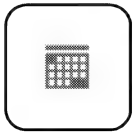
To manage risk, we will group funds into blocks of activities aligned with the value proposition and outcomes of the initiative

Defining milestones is a collaborative effort, lead by the initiative. Key stakeholders provide input to ensure they are right-sized and achieve outcomes. These four dimensions are used to guide the definition of a milestone.

Business and Technical Capability

- Addressing complexity and uncertainty of implementation
- Mitigating identified risks early in the initiative
- Aligning disbursement blocks against spend budget



Schedule

- Early identification of key dates
- Assessing whether delivery is on track earlier to mitigate risks and manage change proactively

Funding

- Drive transparency on how money is being spent
- Contain schedule, resource and technology risk within the blocks
- Identify budget shortfalls sooner

Organizational Readiness

- Early identification of procurement risks
- Alignment of funds to initiative readiness criteria
- Ensuring availability of critical resources

While all four dimensions are considered in defining blocks of funds and milestones, they may not impact all milestones equally.

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Dimensions that influence our decisions to segment funding into blocks (1 of 2)

Dimension*	Value	Considerations
Funding	Establishing blocks based on smaller or incremental funding amounts as opposed to a big bang investment of the entire initiative cost helps: • Drive transparency on how money is being spent • Contain schedule, resource and technology risk within the blocks • Identify budget shortfalls sooner	• Applicable to all management approaches (e.g., programme management, project management, etc.) • The arbitrary nature of selecting a funding amount to segment funds into blocks may artificially split longer-term or ongoing efforts, and challenge the identification of meaningful and assessable milestones along the continuum of an initiative ❑ *What percentages do the blocks represent of the total initiative cost?* ❑ *At what intervals (e.g., time and activities) do the blocks align with the overall initiative plan?* ❑ *Do the blocks align with points in activities, which provide opportunity for adjustment and/or course correction?* ❑ *Do the blocks identify milestones which are meaningful, measurable, and can be assessed in a timely manner?* ❑ *How do the blocks mitigate risk / assuage concerns?*
Business and Technical Capability	Establishing blocks based upon required changes in technology, existing or new, can help in: • Addressing complexity and uncertainty of implementation • Mitigating identified risks early in the initiative • Aligning disbursement blocks against spend budget	• Applicable to all management approaches • Consideration needs to be given to technology decisions to apply in the segmentation of funds into blocks to ensure meaningful, timely and assessable milestones along the continuum of an initiative ❑ *How do the technology component(s) within the blocks fit within the overall initiative plan?* ❑ *What dependencies have been factored into the identification of the blocks and how?* ❑ *Do the blocks align with points in activities which provide opportunity for adjustment and/or course correction?* ❑ *Do the blocks provide milestones and/or outcomes which are tangible and can be assessed in a timely manner?* ❑ *How do the blocks mitigate risk, and/or address/reflect uncertainty?*

**Dimension: What initiatives are measured against to determine an appropriate disbursement cadence that minimizes risk*

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Dimensions that influence our decisions to segment funding into blocks (2 of 2)

Dimension*	Value	Considerations
Schedule	Establishing blocks based on shorter time intervals as opposed to longer interval touchpoints allows for: • Early identification of key milestone/outcome dates • Assessing whether delivery is on track earlier to mitigate risks proactively if they arise • Confirming/validating in advance if there needs to be a change to the next disbursement block	• Straightforward and applicable to all management approaches • The overall timeline of the initiative sheds light on potential dependency risks with respect to availability of people and technology resources • The arbitrary nature of selecting a timing interval to segment funds into blocks may artificially split longer-term or ongoing efforts, and challenge the identification of meaningful and assessable milestones along the continuum of an initiative ❑ *How do the durations of the blocks compare against the overall initiative timeline?* ❑ *Have dependent activities and initiatives been factored into the identification of the timing of the blocks?* ❑ *Do the blocks align with points in activities, which provide opportunity for adjustment and/or course correction?* ❑ *Do the blocks identify milestones which are meaningful & measurable, and can be assessed in a timely manner?* ❑ *How do the durations of the blocks mitigate risk or address uncertainty?*
Organizational Readiness	Establishing blocks based on organizational readiness can assess whether an initiative is well-positioned to deliver on its value proposition and minimize potential delivery risks by defining and securing appropriate capacity and capabilities (internal and external). This allows for: • Early identification of procurement risks • Alignment of funds to initiative readiness criteria • Ensuring availability of critical internal resources	• While straightforward and applicable to all management approaches there is complexity in aligning organizational readiness into blocks that support meaningful and assessable milestones • Improper resource allocation and lack of visibility on readiness may directly impact longer-term or ongoing efforts ❑ *How has organizational readiness been factored into the identification of the blocks?* ❑ *How do the blocks fit within the overall initiative plan?* ❑ *What activities and deliverables fall within each block?* ❑ *Do the blocks provide milestones and/or outcomes which are tangible and can be assessed in a timely manner?*

**Dimension: What initiatives are measured against to determine an appropriate disbursement cadence that minimizes risk*

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Digital Platform Modernization

IRCC Digital Platform Modernization (DPM)

Phase 3 – Definition Phase
Costing Overview

DATE September 27, 2021

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Purpose

- To advise everyone of the costing decisions that have led us to the current $55M budget for definition phase
- Review costing by Sector and by Branch at a high level

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Detailed Summary by Sector

- Current funding request (pre-tax) → $36.9M
- Peak # of FTEs in FY2022-23 → 196.2
- Remains within the CFO/DMA envelope of $55M (no contingency)

Sector	FY2021-22		FY2022-23		Total Definition Phase (incl. DO+Taxes)			Total Definition Phase
	FTE	Costs Total	FTE	Costs Total				
Executive Sector	0.2	$ 0.1	3.8	$ 0.7	**$ 0.8**	$ -	$ 0.2	**$ 0.6**
CFO and Comptrollership Sector	1.4	$ 0.6	8.0	$ 2.7	**$ 3.3**	$ -	$ 0.4	**$ 2.9**
Corporate Services Sector	5.4	$ 0.8	18.5	$ 2.8	**$ 3.6**	$ 1.1	$ 0.6	**$ 1.8**
Operations Sector	10.7	$ 1.9	42.1	$ 7.2	**$ 9.1**	$ 2.7	$ 1.7	**$ 4.7**
Settlement and Integration Sector	1.3	$ 0.2	5.0	$ 0.8	**$ 1.0**	$ -	$ 0.3	**$ 0.7**
Strategic and Program Policy Sector	12.8	$ 2.1	48.0	$ 8.1	**$ 10.3**	$ 4.0	$ 1.8	**$ 4.5**
Transformation and Digital Solutions Sector	6.3	$ 2.5	28.1	$ 8.7	**$ 11.2**	$ 1.6	$ 1.3	**$ 8.2**
Modernization Total	10.2	$ 2.9	42.8	$ 13.0	**$ 15.8**	**$ -**	$ 2.4	**$ 13.5**
Contingency - NHQ Reserve	0.0	$ -	0.0	$ -	**$ -**	**$ -**	**$ -**	**$ -**
Grand Total	**48.4**	**$ 11.0**	**196.2**	**$ 44.0**	**$ 55.0**	**$ 9.4**	**$ 8.6**	**$ 36.9**

Table figures in $M's

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Executive Sector Costing Summary

- Current funding request (pre-tax) → $0.6M
- Peak # of FTEs in FY2022-23 → 3.8

Sector	Branch	FY2021-22		FY2022-23		Total Definition Phase (incl. DO+Taxes)			Total Definition Phase
		FTE	Costs Total	FTE	Costs Total				
Executive Sector	Communications	0.0	$ -	3.1	$ 0.4	$ 0.4	$ -	$ 0.1	$ 0.3
	Internal Audit	0.1	$ 0.0	0.4	$ 0.1	$ 0.2	$ -	$ 0.0	$ 0.2
	Legal Services	0.0	$ 0.0	0.0	$ 0.1	$ 0.1	$ -	$ -	$ 0.1
	CS Communications	0.1	$ 0.0	0.3	$ 0.0	$ 0.0	$ -	$ 0.0	$ 0.0
Executive Sector		**0.2**	**$ 0.1**	**3.8**	**$ 0.7**	**$ 0.8**	**$ -**	**$ 0.2**	**$ 0.6**

Table figures in $M's

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CFO & Comptrollership Sector Costing Summary

- Current funding request (pre-tax) → $2.9M
- Peak # of FTEs in FY2022-23 → 8.0

Sector	Branch	FY2021-22		FY2022-23		Total Definition Phase (incl. DO+Taxes)			Total Definition Phase
		FTE	Costs Total	FTE	Costs Total				
CFO and Comptrollership Sector	Financial Operations Branch	1.1	$ 0.2	4.8	$ 0.7	$ 0.9	$ -	$ 0.2	**$ 0.7**
	Financial Partnership Branch	0.0	$ -	0.4	$ 0.3	$ 0.3	$ -	$ 0.0	**$ 0.3**
	Financial Strategy Branch	0.0	$ -	1.3	$ 0.2	$ 0.2	$ -	$ 0.1	**$ 0.2**
	CS Administration Security and Accommodation	0.2	$ 0.4	0.8	$ 1.3	$ 1.7	$ -	$ 0.0	**$ 1.7**
	CS Financial Operations	0.2	$ 0.0	0.6	$ 0.1	$ 0.1	$ -	$ 0.0	**$ 0.1**
CFO and Comptrollership Sector		**1.4**	**$ 0.6**	**8.0**	**$ 2.7**	**$ 3.3**	**$ -**	**$ 0.4**	**$ 2.9**

Table figures in $M's

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Corporate Services Sector Costing Summary

- Current funding request (pre-tax) → $1.8M
- Peak # of FTEs in FY2022-23 → 18.5

Sector	Branch	FY2021-22		FY2022-23		Total Definition Phase (incl. DO+Taxes)			Total Definition Phase
		FTE	Costs Total	FTE	Costs Total				
Corporate Services Sector	Enterprise Change Management Branch	1.1	$ 0.2	4.4	$ 0.6	$ 0.8	$ 0.7	$ 0.0	**$ 0.1**
	Human Resources	1.0	$ 0.1	2.9	$ 0.4	$ 0.5	$ 0.4	$ 0.0	**$ 0.1**
	Integrated Corporate Business	0.9	$ 0.1	2.6	$ 0.5	$ 0.6	$ -	$ 0.1	**$ 0.5**
	Projects	1.0	$ 0.2	2.7	$ 0.5	$ 0.7	$ 0.0	$ 0.2	**$ 0.5**
	CS Human Resources	1.0	$ 0.1	4.0	$ 0.6	$ 0.7	$ -	$ 0.2	**$ 0.5**
	CS Integrated Corporate Business	0.5	$ 0.0	1.9	$ 0.2	$ 0.2	$ -	$ 0.1	**$ 0.1**
Corporate Services Sector		**5.4**	**$ 0.8**	**18.5**	**$ 2.8**	**$ 3.6**	**$ 1.1**	**$ 0.6**	**$ 1.8**

Table figures in $M's

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Operations Sector Costing Summary

- Current funding request (pre-tax) → $4.7M
- Peak # of FTEs in FY2022-23 → 42.1

Sector	Branch	FY2021-22		FY2022-23		Total Definition Phase (incl. DO+Taxes)			Total Definition Phase
		FTE	Costs Total	FTE	Costs Total				
Operations Sector	Centralized Network	0.4	$ 0.1	1.9	$ 0.3	$ 0.3	$ -	$ 0.1	**$ 0.2**
	Citizenship and Passport Program Guidance Branch	2.0	$ 0.3	4.5	$ 0.7	$ 1.0	$ 0.6	$ 0.1	**$ 0.2**
	Client Experience Branch	1.6	$ 0.3	5.9	$ 1.0	$ 1.2	$ 0.7	$ 0.1	**$ 0.3**
	Domestic Network	0.5	$ 0.1	1.2	$ 0.2	$ 0.3	$ -	$ 0.1	**$ 0.2**
	Immigration Program Guidance	0.6	$ 0.2	1.9	$ 0.3	$ 0.5	$ -	$ 0.1	**$ 0.4**
	Integrity Risk Management	1.0	$ 0.1	3.2	$ 0.5	$ 0.6	$ 0.2	$ 0.1	**$ 0.3**
	International Network	0.8	$ 0.1	1.9	$ 0.3	$ 0.4	$ -	$ 0.1	**$ 0.3**
	Migration Health Branch	0.1	$ 0.0	0.2	$ 0.3	$ 0.3	$ -	$ 0.0	**$ 0.3**
	Operations Planning and Performance Branch	3.9	$ 0.7	21.4	$ 3.7	$ 4.4	$ 1.1	$ 0.9	**$ 2.4**
Operations Sector		**10.7**	**$ 1.9**	**42.1**	**$ 7.2**	**$ 9.1**	**$ 2.7**	**$ 1.7**	**$ 4.7**

Table figures in $M's

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Settlement & Integration Sector Costing Summary

- Current funding request (pre-tax) → $0.7M
- Peak # of FTEs in FY2022-23 → 5.0

Sector	Branch	FY2021-22		FY2022-23		Total Definition Phase (incl. DO+Taxes)			Total Definition Phase
		FTE	Costs Total	FTE	Costs Total				
Settlement and Integration Sector	Settlement and Integration Policy	0.8	$ 0.1	3.0	$ 0.5	$ 0.6	$ -	$ 0.2	$ 0.4
	Settlement Network	0.5	$ 0.1	2.0	$ 0.3	$ 0.3	$ -	$ 0.1	$ 0.2
Settlement and Integration Sector		**1.3**	**$ 0.2**	**5.0**	**$ 0.8**	**$ 1.0**	**$ -**	**$ 0.3**	**$ 0.7**

Table figures in $M's

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Strategic & Program Policy Sector Costing Summary

- Current funding request (pre-tax) → $4.5M
- Peak # of FTEs in FY2022-23 → 48.0

Sector	Branch	FTE	Costs Total	FTE	Costs Total	Total Definition Phase (incl. DO+Taxes)			Total Definition Phase
Strategic and Program Policy Sector	ADM Office - SPP	0.1	$ 0.0	0.7	$ 0.1	$ 0.1	$ -	$ 0.0	**$ 0.1**
	Admissibility	4.9	$ 0.8	8.2	$ 1.4	$ 2.2	$ 1.6	$ 0.2	**$ 0.5**
	Chief Data Officer	5.8	$ 0.9	25.5	$ 4.2	$ 5.1	$ 2.3	$ 0.8	**$ 2.0**
	Citizenship	0.0	$ -	3.5	$ 0.6	$ 0.6	$ -	$ 0.2	**$ 0.4**
	Immigration	0.3	$ 0.0	1.8	$ 0.3	$ 0.3	$ -	$ 0.1	**$ 0.2**
	International and Intergovernmental Relations	0.5	$ 0.1	1.1	$ 0.2	$ 0.2	$ -	$ 0.1	**$ 0.2**
	Strategic Policy and Planning	1.0	$ 0.2	6.4	$ 1.3	$ 1.5	$ 0.1	$ 0.3	**$ 1.1**
	Refugee Affairs	0.1	$ 0.0	0.9	$ 0.2	$ 0.2	$ -	$ 0.1	**$ 0.1**
Strategic and Program Policy Sector		**12.8**	**$ 2.1**	**48.0**	**$ 8.1**	**$ 10.3**	**$ 4.0**	**$ 1.8**	**$ 4.5**

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Transformation & Digital Solutions Sector Costing Summary

- Current funding request (pre-tax) → $8.2M
- Peak # of FTEs in FY2022-23 → 28.1

Sector	Branch	FY2021-22		FY2022-23		Total Definition Phase (incl. DO+Taxes)			Total Definition Phase
		FTE	Costs Total	FTE	Costs Total				
Transformation and Digital Solutions Sector	IT Operations	2.7	$ 1.2	7.0	$ 3.3	$ 4.5	$ 0.1	$ 0.5	**$ 4.0**
	Transformation	2.8	$ 0.6	17.9	$ 3.4	$ 4.0	$ 1.1	$ 0.7	**$ 2.1**
	CS IT Operations	0.7	$ 0.2	2.7	$ 0.7	$ 0.9	$ -	$ 0.1	**$ 0.8**
	Digital Strategy	0.2	$ 0.5	0.4	$ 1.2	$ 1.8	$ 0.4	$ 0.0	**$ 1.3**
Transformation and Digital Solutions Sector		**6.3**	**$ 2.5**	**28.1**	**$ 8.7**	**$ 11.2**	**$ 1.6**	**$ 1.3**	**$ 8.2**

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Modernization Sector Costing Summary

- Current funding request (pre-tax) → $13.5M
- Peak # of FTEs in FY2022-23 → 42.8

Sector	Branch	FY2021-22		FY2022-23		Total Definition Phase (incl. DO+Taxes)			Total Definition Phase
		FTE	Costs Total	FTE	Costs Total				
Modernization	Modernization	10.2	$ 2.9	42.8	$ 13.0	$ 15.8	$ -	$ 2.4	$ 13.5
Modernization Total		**10.2**	**$ 2.9**	**42.8**	**$ 13.0**	**$ 15.8**	**$ -**	**$ 2.4**	**$ 13.5**

Table figures in $M's

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Next Steps

- Host meetings with each Sector to review their Definition phase costing
- Host meeting with the Digital Opportunity working group to review costing by opportunity

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Transformation Assurance Strategy

Transformation Committee (TransCom)
September 24, 2021

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DTPB Discussion Summary & Next Steps

The following points where raised during the IAAB presentation at DTPB:

- Overall, the Assurance Strategy was well received & supported (as a useful tool to provide assurance & assist in robust decision-making).
- TBS clarity surrounding their expectations around Milestone Funding was requested.
- To avoid duplication, *Roles & Responsibilities* of both departmental officials and TBS officials was highlighted as an area to be developed – including delineating between governance, oversight and assurance responsibilities and accountabilities.
  - The 'business' should be the main driver of DPM 3 – "this is not an IT project". As such, effort will be focused on establishing the relevant business outcomes using the Business Benefits Framework previously developed.
- By way of next steps – It was agreed that the Program Sponsor would develop a program design & framework; including establishing a formal approach to milestone funding as well as developing the roles and responsibilities of internal stakeholders.
  - Furthermore, clarity around Milestone Funding and corresponding expectations of TBS would be sought – including possible exemptions from policy requirements.

A-2021-54784-000120

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1. Background and Context

Transformation and Digital Platform Modernization

- Transformation is a department-wide, collaborative effort to modernize the way IRCC works. It includes IRCC services (e.g. finding better ways to process applications) and digital infrastructure (e.g. providing better digital tools to help employees do their work).
- A big part of transformation includes access to the right digital tools and a digital platform that is nimble, modern and efficient - a goal of the Digital Platform Modernization (DPM) Programme. DPM aims to enhance client service and operations while maintaining our program integrity - key business outcomes driving transformation.
- DPM will work towards establishing a modern digital platform to eventually replace GCMS. It will achieve this through a three phased approach (Stabilize, Standardize and Enhance).
- Digital Platform Modernization (DPM) Phase 3 is more complex than Phases 1 and 2 and demands a more mature programme approach. The shift from 'technical' to 'transformation' means policy, operations, corporate, and IT must move in lockstep.
- The activities required to deliver the Transformation and Digital Platform Modernization initiatives are extensive, involving many stakeholders working in specialized areas.

Independence & Objectivity

To ensure internal auditors maintain independence and objectivity in this role, the Internal Audit and Accountability Branch (IAAB) has implemented safeguards based on guidance provided by the Office of the Comptroller General (OCG). To ensure that objectivity and independence is maintained for Transformation initiatives Internal Audit follows the core audit practices of:

- Adhering to the responsibilities in the 3rd line of defense;
- Documenting the evidence used to support observations and defining how evidence supports conclusions;
- Documenting of all activities undertaken and input provided by IAAB team members for ongoing assurance;
- Providing management the opportunity to review, and validate observations and supporting evidence;
- Adhering to the Institute of Internal Auditors' standards for information management in order to enable external quality assessments at any stage; and
- Completing formal declarations of independence and objectivity to the Chief Audit Executive and to the OCG.

Nimble Assurance for Core Services Initiatives

Changes Approved by the DM Committee on Core Services

Recognizing that the Government of Canada requires an approach that builds in enough flexibility to account for multiple delivery styles (i.e., activities, projects, programs, products), the DM Committee on Core Services approved the following key changes so far.

1. Implementation of a **milestones-based approach for access to funding**

2. A **different approach** to delivering assurance:
   - Development and implementation of an enhanced and proactive role for internal audit, starting with two services ongoing **health checks** and **funding milestones' assessments (Stream 1)**
   - Further exploring the role of assurance/oversight with key stakeholders, to identify a more efficient and effective operating model **(Stream 2)**

This approval is only relevant for the four initiatives that are in scope for this work:

- ESDC Benefits Delivery Modernization
- IRCC Digital Platform Modernization
- SSC and TBS's HR to Pay
- ESDC's Technical Debt Remediation Initiative

A-2021-54784-000121

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2. Early Stakeholder Feedback and Questions

OCG Presentation

Nimble Assurance for Core Services Initiatives

Throughout the month of June 2021, OCG policy leads alongside the Core Services Enablement Team made presentations on the new approach for Nimble Assurance for Core Services Initiatives. Committees where the presentation was made included the IRCC Digital Transformation Interdepartmental Advisory Committee (DTIAC) at the DMA and ADM levels, as well as the Departmental Audit Committee, with TransCom and DG Forum members in attendance. **Below are some of the comments, questions and feedback received during and following the presentations.**

Suggestion to have audit ask for experts' comments for the health of projects. There may be some overlap with existing Project Management functions that need to be clarified. However, there is flexibility to adjust, and Departments can choose how to establish this clarity in roles and responsibilities within their structure.

The importance of coordination between departments and TBS was recognized. TBS is committed to working and supporting Departments in refining roles and avoiding duplication to reduce the overall burden on Departments.

It was acknowledged that the proposed framework would require a conscious culture change for its successful implementation.

Suggestion that the final report describing observations and lessons learned based on Internal Audit work be shared, not just periodic reports.

A process to empower early assurance approaches within program planning and to then release funds through a simpler administrative process was proposed to increase nimbleness and maintain audit and assurance principles.

It was acknowledged that with all of the G5 assurance providers, questions are still remaining:

- Are there opportunities for streamlining the G5?
- How might the G5 work differently together?
- What are the opportunities for reducing overlap?
- How can we share and rely on each other's work?
- Where are the synergies across the G5?

DM Core Committee proposal is consistent with the timeframe, and appears nimble enough to provide oversight to agile projects like DPM. One question remains as to who is to prepare materials for the oversight process of DPM. Anticipating greater clarity as governance for DPM 3 develops.

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3. Assumptions for IAAB Assurance Strategy

Broad Assumptions

Below are some assumptions that inform the nimble assurance strategy, while details continue to be discussed and finalized:

The Deputy Minister Core Services approval for Milestone Funding and Nimble Assurance is expected to be incorporated into programme design.

Treasury Board enablers will give IRCC Digital Platform Modernization (DPM) Phase 3 flexibility in the context of accountabilities, given the Deputy Minister Core Services approach and oversight, in comparison with previous project and programme approaches.

While DPM 1&2 and DPM 3 are under fundamentally different accountability regimes with potentially differing Treasury Board commitments, there is a linkage between all three phases and IAAB's assurance approach and products are going to be consistently applied across the phases as necessary. Accountabilities under DPM 1&2 will continue to be met. (It should be noted that DPM 1 & 2 as well as the first Treasury Board submission for DPM 3 fall under historical TB accountability structures and those requirements will be adhered to).

Work is currently in progress to define the frameworks and approaches for Governance, Oversight and Programme Management. The interconnectivity between the Assurance strategy and the elements above and will be reflected and updated as details emerge. The fundamental elements of IAAB's Assurance Strategy are expected to remain valid.

Definitions

Governance - The control framework through which programmes deliver the change objectives and maintain corporate visibility and control. This includes the structures, systems, and practices an organization has in place to:

- assign decision-making authorities, define how decisions are to be made, and establish the organization's strategic direction;
- oversee the delivery of its services; the implementation of its policies, plans, programs, and projects; and the monitoring and mitigation of its key risks; and
- report on its performance in achieving intended results and use performance information to drive ongoing improvements and corrective actions.

Oversight – The actions taken to review and monitor policies, plans, programmes, and projects, to ensure that they:

- are achieving expected results;
- represent good value for money; and
- are in compliance with applicable policies, laws, regulations, and ethical standards.

Those in charge of oversight functions are asked to look at a process, program, or project from "above", but not to get involved in its day-to-day management.

Assurance – The objective examination of evidence to ensure that the programme is being managed effectively and to provide an independent assessment on risk management, control or governance in order to inform decision-making.

Programme Management Framework – A systematic approach to managing a set of related business change projects to achieve outcomes and realize benefits that are of strategic importance. Key principles include ensuring that:

- responsibilities and lines of communication are clear;
- work is planned in a way which achieves results;
- the organisation benefits from undertaking the programme,
- all relevant stakeholders are involved (RACI)
- risks are identified and managed, and issues are resolved;
- Tracking information and decisions on the continually changing environment are kept up-to-date.

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4. Stratégie d'assurance – Objectif et lignes de défense

Objectif de la stratégie d'assurance de l'IAAB

La stratégie d'assurance a les objectifs clés suivants:

- **Atténuer les risques –** L'objectif de l'assurance est de s'assurer que les mécanismes permettant d'identifier, de gérer et d'atténuer les risques sont en place et mis en œuvre efficacement. Ceci est distinct de la minimisation des risques, car le montant de risque accepté doit être aligné sur la tolérance au risque d'IRCC et équilibré par rapport aux besoins du programme, au risque de projet individuel, et profiter de toute possibilité d'optimisation.
- **Permettre l'exécution et le succès** - Le but de l'assurance est de permettre et de maximiser les opportunités en veillant à ce que les activités clés soient exécutées pour répondre aux besoins du programme et de ses parties prenantes.
- **Assurance en temps réel de la DGVIR** – Fournir une assurance et des informations en temps opportun sur la base de l'univers de l'assurance (voir la diapositive 6) pour informer le régime de gouvernance et de surveillance ainsi que les parties concernées internes/externes dans l'exercice de leurs imputabilité, rôles et responsabilités.

Il existe de nombreuses parties potentiellement impliquées dans l'assurance, par ex. Vérification interne, BDPI, CSD/BGPE, DPP, SCT/BCG, etc. Ce document reconnaît que ces interconnectivités et comment elles peuvent fonctionner dans la pratique sont actuellement en cours de discussion.

Modèle des lignes de défense

La stratégie d'assurance est mise en œuvre par différentes lignes de défense qui enquêtent sur différents types de risques à différents niveaux de la transformation et de la MPN. La mise en œuvre spécifique de chaque ligne de défense est en cours de détermination, mais les éléments structurels clés sont les suivants :

à déterminer

1

La première ligne de défense devrait être entreprise principalement par les équipes de programme et de projet exécutant le programme de transformation et de la MPN. Il se concentrerait sur la mise en œuvre et de la tenue de registres comptables des activités du programme et du projet pour valider le progrès, la réalisation des avantages, etc. Il serait effectué par les équipes de mise en œuvre du projet / programme et la direction qui se concentrent sur l'exécution du projet / programme.

à déterminer

2

La deuxième ligne de défense devrait être mise en œuvre par une équipe dédiée axée sur la supervision et la facilitation, mais n'est pas responsable des activités d'exécution des programmes/projets.

3

La troisième ligne de défense devrait être mise en œuvre par les fournisseurs d'assurance de la DGVIR et du G5 qui se concentreraient explicitement sur la rigueur et de l'objectivité des activités d'assurance en observant et en interagissant avec le programme. Les fournisseurs d'assurance de la DGVIR et G5 resteraient indépendants du programme Transformation et de la MPN.

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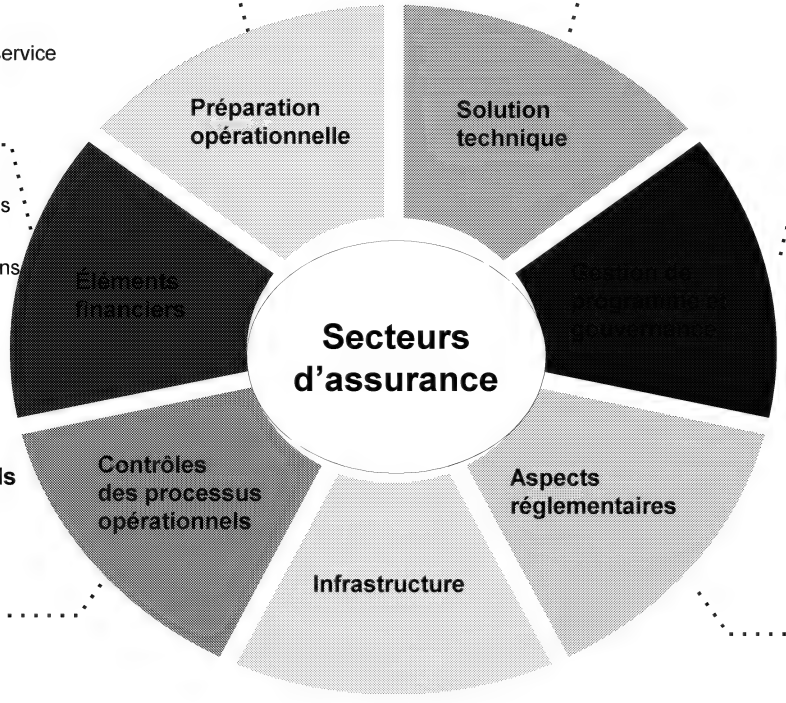
5. Cadre d'assurance pour la transformation et la MPN (« Pinwheel »)

Préparation opérationnelle
- Gestion du changement et formation
- Adhésion des organisations
- Gestion des capacités
- Viabilité au moment de la mise en service
- Modèle opérationnel cible

Éléments financiers et financement
- Validation du financement axée sur les jalons
- Création de capacités
- Budget contre dépenses réelles ou projections
- Contrôles en matière de rapports financiers
- Gestion de la portée

Contrôles des processus opérationnels
- Conception des contrôles clés au sein des processus opérationnels
- Conception des contrôles généraux de TI dans le système



Solution technique
- Architecture de solution
- Architecture des données et gestion des données
- Assurance de la qualité et tests de qualité
- Gestion et résolution des problèmes
- Sécurité informatique et cybernétique
- Expérience des clients/employés

Gestion de programme et gouvernance
- Analyse de rentabilisation
- Réalisation des avantages*
- Gouvernance du programme et prise de décisions
- Planification intégrée et gestion des dépendances
- Gestion des risques
- Culture et comportements
- Indicateurs de rendement clés du programme
- Gestion des ressources
- Approvisionnement et gestion des fournisseurs

Aspects réglementaires
- Conformité aux exigences réglementaires
- Confidentialité des renseignements

Cette liste a été établie à partir des renseignements partagés par chacun des quatre projets exploratoires

Selon la nature de l'initiative, certains des secteurs susmentionnés peuvent ne pas s'appliquer

Infrastructure
- Hébergement de solutions et dépenses en immobilisations
- Préparation opérationnelle en TI
- Passage du programme au statu quo
- Reprise après sinistre

* Liens étroits avec les éléments financiers et le financement

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6. Approche et produits d'assurance de la DGVIR

L'approche de la DGVIR pour la mise en œuvre de la stratégie d'assurance comprendra l'application de différents niveaux de mécanismes d'assurance (veuillez consulter l'annexe 1 pour les définitions clés des activités d'assurance de la vérification interne).

Les mécanismes suivants seront utilisés

Évaluations des risques

- Évaluation formelle, structurée et rapide des risques de haut niveau pour chaque domaine de l'univers de l'assurance (« pinwheel » - voir la diapositive 6) afin de déterminer la périodicité des prochains bilans de santé, des examens approfondis immédiats, et des examens de financement basés sur des jalons.
- Le résultat des évaluations des risques est une feuille de route claire pour la réalisation de bilans de santé et d'examens de financement basés sur des jalons et fournit une indication des examens approfondis immédiats potentiels et/ou (le cas échéant) des examens approfondis supplémentaires qui seront menés au cours de la durée de vie du programme.

Bilans de santé

- Examens formels, structurés et rapides couvrant les aspects pertinents du programme.
- *Assurance limitée*

Validation du financement axé sur les jalons

- Validation formelle, structurée et rapide de l'achèvement des jalons.
- *Assurance limitée*

Examens approfondis et examens indépendants

- *Vérifications ou examens formels et structurés dont la portée est éclairée par des évaluations des risques et des bilans de santé périodiques.*
- *Assurance de niveau supérieur*

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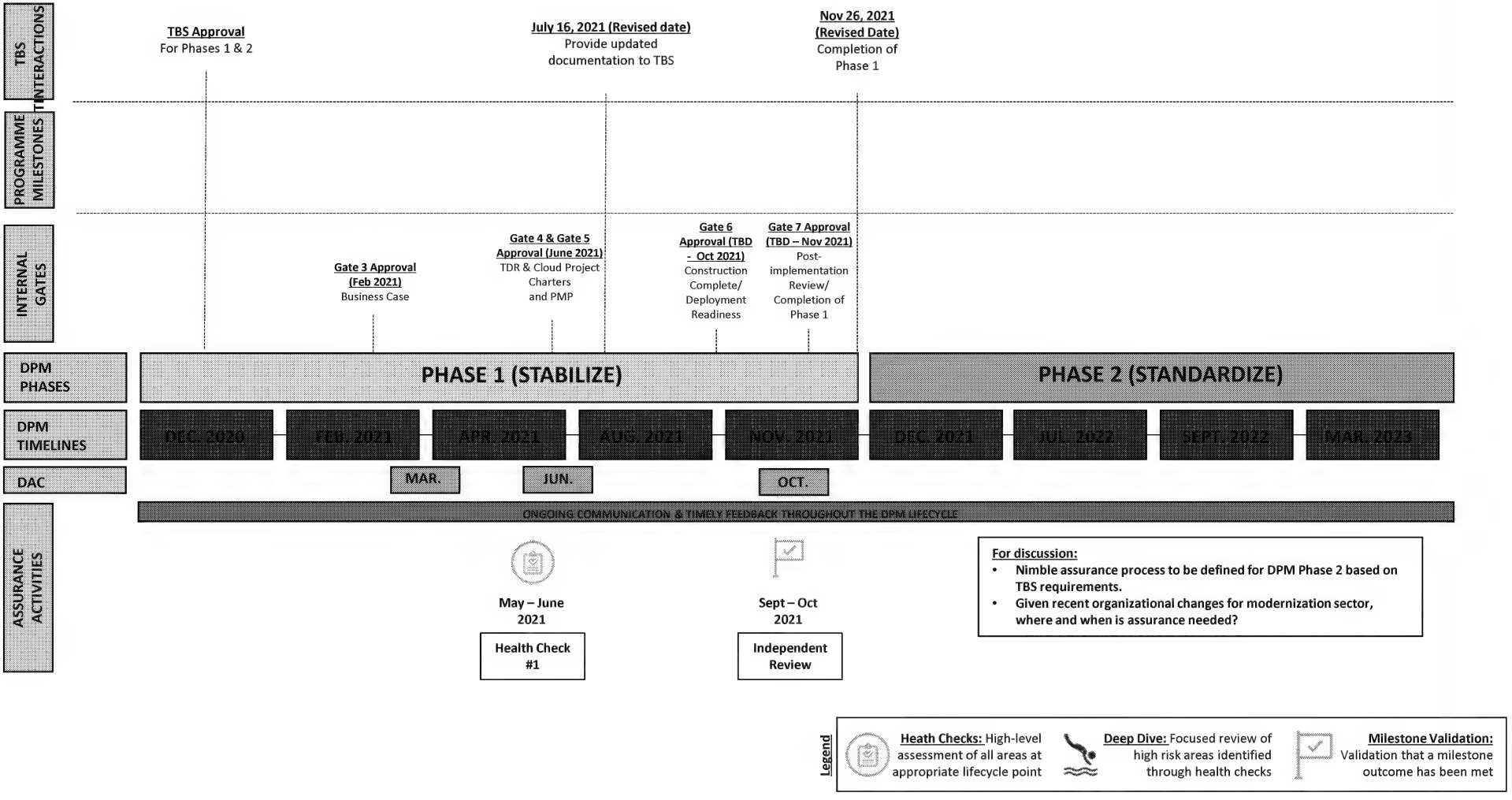
7. For discussion: IAAB Assurance Schedule for DPM Phases 1&2



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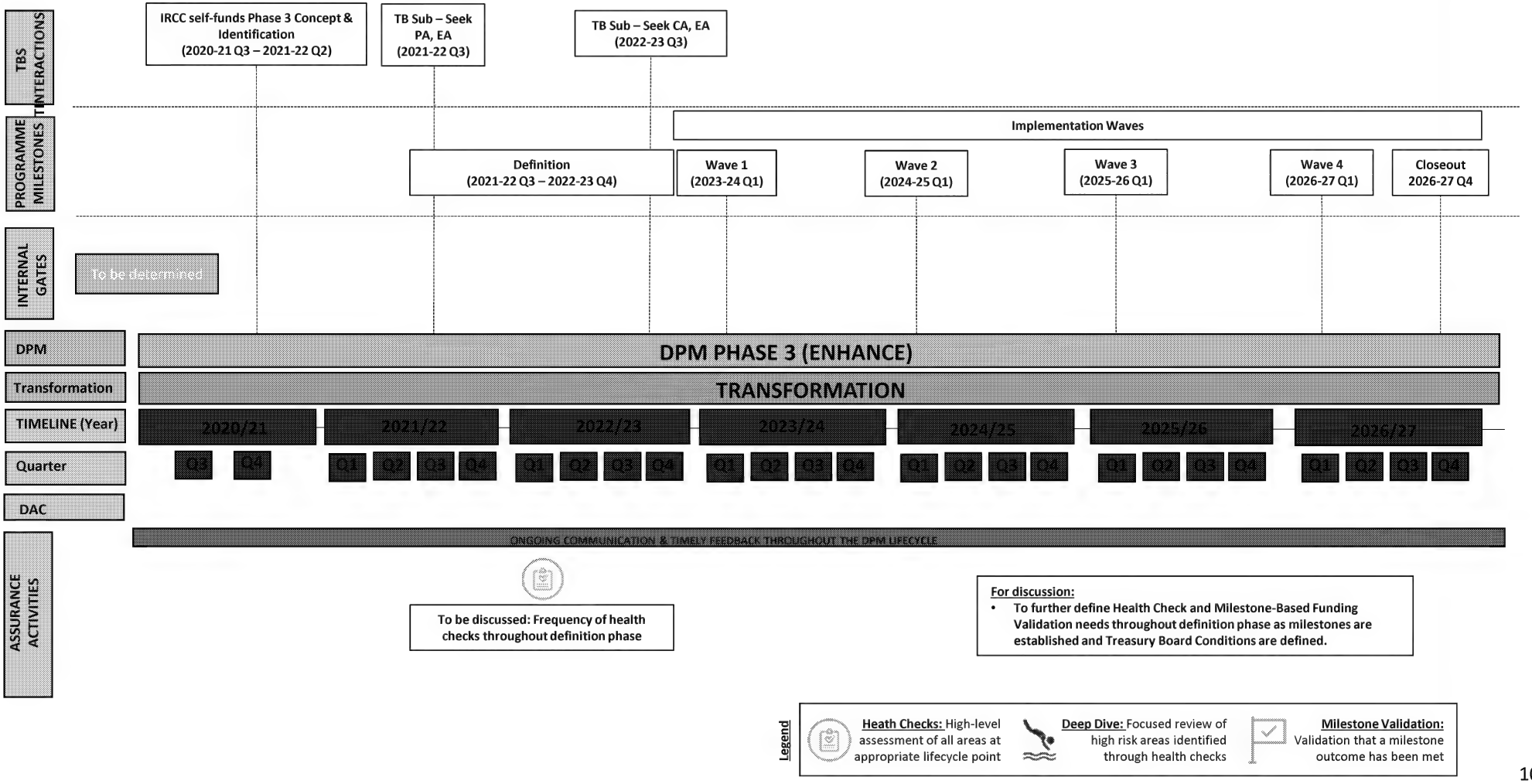
8. Proposed IAAB Assurance Schedule for Transformation & DPM3



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9. IAAB Assurance to Date and Next Steps

IAAB Assurance Activities to date for Transformation

As initially included on the Risk-based Audit Plan 2019-21, IAAB has conducted a number of Transformation assurance and advisory projects starting in January 2020. Below is a summary of the projects undertaken:

1	**IRCC Transformation Risk Assessment –** January 2020 to November 2020 **Objective:** To identify key risks that are typical of such transformation projects and determine whether sufficient controls are in place to manage and mitigate these risks; suggest actions that might assist in mitigating identified risks in the short term; and identify areas that may require further consideration or audit work.
2	**Close-out Review of Integrated Lean in New Delhi –** January 2020 to November 2020 **Objective:** To provide advice to Senior Management on measures taken by the Transformation Branch and the Integrated Lean Transformation (ILT) team to ensure the success, sustainability and scalability of ILT in New Delhi and of future Lean waves.
3	**Lessons Learned Review of Contract Management –** November 2020 to March 2021 **Objective:** To identify lessons learned from the management of the second McKinsey Contract, signed in June 2019, and to identify best practices for managing future professional services contracts.
4	**Transformation Mini-Health Check (Ongoing Assurance) –** June 2021 **Objective:** To present a status update on progress to date as well as key risk areas and gaps in activities required for organizational readiness to meet the needs of the programme and its stakeholders.
5	**DPM Phase 1 Health Check –** May 2021 – in progress of finalization **Objective:** To conduct a high-level assessment at a point in time during the programme lifecycle, based on areas identified within the assurance universe, to determine how the programme is performing in accordance with its objectives and the key risks it may be facing.

Prochaines étapes

- Bien que ce document se concentre sur la stratégie d'assurance de la DGVIR en tant que troisième ligne de défense, les détails du modèle global de surveillance et d'assurance pour la transformation et la modernisation de la plate-forme numérique (MPN), ainsi que les cadres de gouvernance et de surveillance, sont en cours d'élaboration.
- Les hypothèses énoncées sur la diapositive 4 sont en cours. Une fois que les détails concernant la gouvernance, la surveillance et la conception du programme seront finalisés, la DGVIR mettra à jour la stratégie d'assurance pour refléter les rôles et les responsabilités entre les lignes de défense.
- Une fois la vision et la portée définies, la DGVIR formalisera un cadre de référence pour aligner et délimiter la portée et les livrables de l'assurance de la DGVIR dans le cadre des phases 1, 2 et 3 de la MPN.
- La DGVIR est en train de finaliser une activité de leçons apprises basée sur le bilan de santé de la MPN pour la phase 1.
- Dans le cadre de la mise à jour du bilan de santé de la phase 3 de la MPN (diapositive 13), la DGVIR mettra à jour les observations pour faire la distinction entre la gouvernance, la surveillance, et l'assurance. La mise à jour pour le bilan de santé comprendra également de nouvelles observations sur la présentation au CT (y compris l'établissement des coûts) et la stratégie d'approvisionnement (y compris la gestion des fournisseurs).

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Annexes

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Annex 1. Key Definitions for IA Assurance Activities

The following definitions are aligned to OCG guidance for planned point-in-time assessments to be conducted by Internal Audit for DM Core Services Programmes:

IAAB Assurance Strategy

- The Assurance Strategy provides IA with a **baseline understanding of the programme** and the associated risks being tracked and managed.
- IA conducts a foundational**, high level assessment of each area of the assurance universe** (the pinwheel) to determine the periodicity of upcoming Health Checks, any immediate Deep Dives and Milestone-Based Funding Reviews.
- The assurance strategy should be reviewed and **updated at least annually** (at IA's discretion).
- The outcome is a clear roadmap for conducting Health Checks, and Milestone-Based Funding Reviews and provides an indication of potential immediate Deep Dives and/or (if known) additional Deep Dives that will be conducted over the life of the programme.

Health Checks

- Overall assessment of areas/elements of the Assurance Universe.
- At regular intervals throughout the programme lifecycle (e.g. quarterly).
- Based on IA's assessment of risk, the lifecycle stage, and other factors, the team applies key criteria based on best practices to provide a **reasonability check** on applicable programme components. ***Limited Assurance.***
- Health checks provide leadership with timely insights on how the programme is performing (with a view to manage risks effectively) and provide an independent line of sight as to the health and risks of a programme, in near real-time, in order to support decisions that impact programme success.
- Expectation that a **high-level review is conducted to assess each assurance area and assign a health check rating** (no testing expected).
- Each assurance area/element would be included in the health check unless the element is not activated.
- Results are to be shared with the programme and G5 proactively to maximize value/utility.

Deep Dives

- Formal and structured audits or reviews whose scope are informed by periodic risk assessments and Health Checks. ***Higher level of Assurance.***
- As required and in consideration of past, current, or planned work of other assurance providers.
- Methods and approaches are closer to traditional IA role, with higher emphasis on agility, current/future risks, and outcome achievement.
- Would cover specific assurance elements where IA deems there to be gaps, unmitigated risks or other areas of concern.
- **Scope/level of assurance is dependent on the specific risk and time available** for review.
- **A deep dive is done in much less time than a traditional audit** or review, e.g. 6-8 weeks.
- Findings are summarized in a formal report which identifies recommendations for improvement.
- Deep dives are coordinated with the input of the G5.

Milestone Funding Validation

- Provides assurance to stakeholders on the achievement of the committed outcomes/ capabilities associated with a milestone or checkpoint. ***Limited assurance***.
- At pre-defined check-points and milestone approval stages established by the programme.
- Based on knowledge gained from discussions and document review, including management's support/demonstration of milestone completion, IA gathers enough evidence to be satisfied that management's assertions are credible.
- This provides an independent perspective on management's assertions and evidence of milestone completion, to inform funding decisions**.**
- IA's review of the evidence of achievement of the milestone/ checkpoint **will leverage the activities of the 2nd LOD**.
- A risk-based approach will be taken to ensure the process is agile and nimble.

Independent Reviews

- An independent third party review, Health Check, etc. performed by an independent and unbiased third party (e.g. "Third Party Reviews" as defined by Treasury Board). These have the benefit of increased objectivity (both real and perceived), but the drawback of less in-depth understanding of the initiative, less depth of analysis and higher cost.

Internal / External Audit

- These are mechanisms to perform various types of post-activity review of programmes / projects. Audits are performed by independent third parties to ensure project activities were performed appropriately and outcomes were as expected. It is important to note that traditionally, audits are performed after the activities being reviewed by the audit have been completed.
- Audits would be performed by IAAB or an external organization (e.g. OAG or OCG) if and when the need is identified.

Ongoing Assurance

- Processes / activities performed on an ongoing basis to observe, review, and provide feedback about, ongoing programme and project activities. Ongoing assurance is ideally performed by someone with extensive experience with the programme / project activity, but who is not actively participating in that instance of the activity.
- Work with Transformation leadership and programme management office in an embedded and collaborative manner to provide **ongoing assurance** to Transformation and DPM. The identification will be based on high risk areas that are integral to the effective delivery of the programme and related projects.
- Additionally, the CAE will attend governance committee meetings including DG Forum, Digital Transformation Programme Board, TransCom, and DM Core, among others, to provide ongoing advisory and assurance throughout the lifecycle of the programme.

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Annex 2. Update for Digital Transformation Programme (June 2021 DAC)

Programme de modernisation de la plateforme numérique

La transformation d'IRCC a été initialement lancée en avril 2019, et le programme reconnaît un certain nombre de leçons apprises au cours des deux dernières années.

Il y a une opportunité de revisiter les **structures originales mises en place** et d'aligner le ministère vers son état futur, notamment à la lumière de la préparation de la MPN phase 3 (renforcer).

Le programme a identifié un enjeu selon lequel il existe un manque de clarté sur la portée globale, la stratégie, la narration et les résultats opérationnels de la transformation. Il y a eu plusieurs approches pour communiquer et fournir des mises à jour sur chacun des leviers, qui ont mis davantage en évidence les stratégies concurrentes, les récits et les limites du programme.

Ongoing Assurance Findings*

Vision & Strategy – There is a need for a single long-term vision and clear strategy to unify the current and future Transformation projects undertaken within DPM Phases 1, 2, and 3, alongside the levers of the Digital Transformation Programme, and transformation projects across IRCC. The vision and strategy must have committed buy-in from all sectors, resonate throughout the Department, and be communicated widely through multiple communication channels.

Business Sponsorship - There is a need to refine and re-articulate the definition and responsibilities of the key roles in programme management, and to identify a Business Sponsor. Sponsorship at senior management levels must also be increased for departmental Transformation to champion, drive, and communicate the needs, benefits, and plan for the programme. Sponsors must play a key role in driving change by ensuring their respective sectors and branches take ownership for Digital Transformation, and have the capacity to implement and realize the benefits of newly-built tools and products.

Governance, Oversight & Assurance – As Digital Transformation continues to evolve and expand, the governance structure for Transformation needs to be refined and streamlined. There is a need for clear lines of responsibility and accountability for decision-making and ensuring that there is appropriate representation of departmental stakeholders, while being built upon the basis of nimble governance and decision-making. Additionally, functional areas, referred to as the Group of 5 (G5), must develop an assurance strategy and align their mandates to provide assurance and oversight to transformation initiatives, in order to avoid unnecessary overlap.

Roles and Responsibilities of All Stakeholders & Enablers – There is a need for roles and responsibilities across the Transformation programme to be clarified and understood by all stakeholders and enablers. Duplications of effort across programme management and interactions with partners across the department should be identified, defined and consolidated.

Department-wide Integrated Roadmap – There are important interdependencies among ongoing initiatives within the Department including Digital Transformation, policy modernization, and operational priorities. There is a need for a Department-level roadmap to feed into prioritization activities and tracking of dependencies. The development of the roadmap is in its early planning stages and is being discussed between Transformation Branch, Strategic Policy Branch, and Operations Planning and Performance Branch.

*IAAB recognizes that work is in progress to address some of these areas and will be captured within the Risk Assessment/Health Check.

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Annexe 3. État cible de l'assurance

1re et 2e lignes de défense

Équipe du programme

Gestion financière

Gestion de la qualité

Avantages et capacités

Gouvernance de programme

Gestion des risques et des enjeux

Gestion de projet

L'équipe du programme élabore des rapports complets au niveau des projets et des programmes, qui incorporent toutes les principales mesures de rendement.

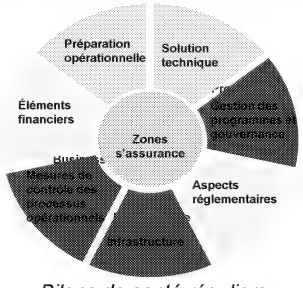
L'équipe du programme effectue l'évaluation continue des risques et la gestion des risques et des enjeux de l'initiative.

Un rapport mensuel commun sera élaboré avec le G5 pour la mise en œuvre de tous les programmes et initiatives. Ces renseignements mettront en évidence les écarts importants et seront communiqués au G5 afin d'éclairer leurs travaux.

3e ligne de défense et organes indépendants

Assurance intégrée

Examen de l'achèvement des jalons



Bilans de santé réguliers

Audit Interne

Production de rapport normale

Échange de renseignements

Rapports mensuels

G5

Les membres du G5 continueront de s'acquitter de leurs mandats respectifs tout en travaillant différemment ensemble pour renforcer les synergies entre les fonctions et éviter tout fardeau/chevauchement inutile.

BDPI

SCT/BCG

CSD/BGPE

DPF

Vérification interne

Coordination au sein du G5

Assurance conditionnelle fondée sur le risque

Une assurance supplémentaire sera entreprise lorsqu'un risque élevé est repéré ou qu'un problème important est déclenché.

Voici quelques exemples :

- Examen des politiques par le BCG du SCT en raison d'une non-conformité aux exigences de la politique actuelle
- Plongées en profondeur par la VI dans des secteurs à risque élevé
- Examen de la réalisation des avantages par le BDPI ou le DPF en raison de retards dans l'obtention d'avantages
- Examen du contrôle des processus opérationnels par le DPF et l'a VI si les documents de contrôle sont introuvables
- Examen de la gouvernance par le Bureau de gestion de projet organisationnel en raison de problèmes de gestion du programme

Ces examens sont coordonnés au sein du G5, et les rapports sont communiqués au groupe commun

**Ne s'applique qu'aux quatre initiatives qui s'inscrivent dans la portée de ce travail : EDSC – Modernisation de la plateforme numérique (MPN) et Dette technique; MPN d'IRCC; et initiative ProGen de SPC/SCT. Aucun changement au reste des projets et des initiatives*

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Annexe 4. Exemple d'échelle de notation pour les bilans de santé

Cet exemple sert de guide et ne remplace pas le jugement de l'équipe de VI. L'échelle de notation utilisée doit être davantage adaptée aux spécificités liées à chaque programme. Cette échelle de notation sera utilisée pour évaluer chaque domaine d'assurance. Dans cet exemple, veuillez garder à l'esprit qu'il ne s'agit pas d'une échelle mathématique et qu'elle nécessitera une évaluation subjective. En appliquant ces critères, utilisez les principes suivants :

- Si la majorité des critères sont rouges, le domaine d'assurance doit être classé comme élevé.
- Si la majorité des critères sont jaunes, le domaine d'assurance doit être évalué comme moyen.
- Si la majorité des critères sont verts, le domaine d'assurance doit être noté comme faible.
- S'il y a un mélange de notations pour les critères, l'équipe de VI doit appliquer son jugement en utilisant les informations dont elle dispose (nombre de critères dans chaque couleur, les informations sur les considérations de santé, et les critères d'évaluation).

Critères	Échelle de notation		
Atténuation des risques			
Nombre de risques notés « élevés » ou de problèmes notés « élevés » par gestion de programme/projet	Aucun	1-3	Plus que 3
Progrès sur les plans d'atténuation	Bons progrès - Majorité des actions en cours/progrès ou achevées par rapport aux dates cibles	Progrès limités - certains progrès sont en retard sur l'objectif ou certaines actions sont en retard	Aucun progrès - les progrès à ce jour ne sont pas conformes à l'objectif et/ou la majorité des actions en retard
Qualité des plans d'atténuation	Le plan de réponse aborde les facteurs de risque	Le plan d'intervention ne traite que partiellement des facteurs de risque; travail requis	Le plan d'intervention ne répond pas aux facteurs de risque; des travaux importants sont requis
Risques manquants			
Nombre de risques manquants évalués comme élevés	Aucun	1	2 ou plus
Statut/Activités			
Autres informations	D'autres informations indiquent que le domaine de l'assurance est bien géré	D'autres informations indiquent qu'il existe certaines préoccupations quant à l'efficacité avec laquelle le domaine d'assurance est géré	D'autres informations indiquent que le domaine de l'assurance n'est pas bien géré

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A

Executive Committee Takeaways

September 13, 2021

- ✓ A big and ambitious scope, but needed for true transformation (business, operations, and IT)
- ✓ Health, safety, and security of Canadians remains the ultimate driver and outcome
- ✓ Keep envisioning DPM through the eyes of clients, IRCC and partners
- ✓ Sequence work on key systems and functions, across sectors
- ✓ Lead with policy and authorities
- ✓ Focus on efficiency, sustainability, shifting to value-added activity – caution around committing to "savings"
- ✓ Articulate effectiveness/better decision metrics and understand the indicators of failure
- ✓ Don't undercut ongoing work program, operational and IT work – IRCC has a great deal to deliver while DPM is being developed
- ✓ Seize opportunity for incremental to exponential growth: anti-bias and -racism, OL, accessibility
- ✓ Data assurance and feedback loops are key to learning more and deepening benefits
- ✓ Baseline, baseline, baseline: the DPM 'from-to' story will depend on it

High-level View of DPM Future State

"With people at the centre, achieve the operating model of the future, an integrated and accessible client experience, and data-driven decisions to keep Canadians safe, healthy and secure"

Regardless of program, intake will be **fully digital and self-serve**. The experience will be **accessible and intuitive by design**, harnessing technologies to improve ease of use, accuracy, transparency, and notice and consent processes. Underlying **program structures will be streamlined** and presented in a cohesive, intuitive, fair, and empathetic manner across all business lines, so that clients are not lost in a sea of options. **Pain points** will be predicted and proactively prevented, **from first contact through to settlement and integration**. Clients will have access to releasable data in real-time and have the ability to **update and limit use of their personal information** wherever appropriate.

For Clients

Intelligent, transparent, and privacy-sensitive use of data builds **public confidence** in our ability to manage risk. Data underpins IRCC ability to **adapt rapidly** to shifting conditions and priorities and **proactively attract global talent**. Unintended **bias and disparities** are identified and addressed in a system focused on **delivering the benefits of immigration and diversity to Canadians**.

For Canadians

Delivery and security partners have **access to tools and data** that speed their work, improve their awareness and enhance their role in migration management. IRCC can make better use of partner data to **improve its own operations**.

For Partners

IRCC is **an employer of choice** due to its state-of-the-art work tools, culture of innovation, comprehensive commitment to equity and change management, and reputation as a **leader in digital government**.

Client identity is verified and validated at the highest level, anchored in biometrics, then leveraged for '**tell us once**'.

Access to data and capabilities is "need to know" and security- and privacy-compliant.

Work is **automatically distributed** to the right expert at the right time, based on intelligent triaging rules.

For IRCC

Detailed DPM benefits realization work will happen during definition. For example, we can anticipate that the following baselines from IRCC's 2020-21 Management Accountability Framework will be targeted for improvement.

- *Baseline for Service Standards:* % of priority services that have service standards (89%) and the % of service standards for which the target was met (86%).
- *Baseline for Online Services:* % of priority services that can be completed online end-to-end (44%) and the % of applicable client interaction points that are available online for priority services (77%).

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B

DPM Future State: Related Work & Next Steps

DPM and IRCC's 'Digital Transformation' → Modernization

- A broad vision for Phase 3 of DPM needs to be reflected in the programme's governance model, funding, and work plan.
- DPM will be both catalyst and funnel for IRCC's transformation over the coming years.
- If DPM comprises not only 'GCMS 2.0' but also the work to put in place policy, program, legal, and corporate conditions for sustainable digital enterprise, its relationship to the four other levers of Digital Transformation and other transformation efforts underway (e.g., visitor transformation, Passport modernization) will require formal clarification.

If Transformation Committee approves, the team will work closely with stakeholders to:

1 Develop a baselined logic model to support DPM Phase 3, including validation of the Vision, Outcomes, and Capabilities

2 Ensure that DPM's planning process accounts for an extensive agenda that has largely been implicit or assumed until now

- Change management's importance in readying IRCC and its people for the operating model of the future
- Privacy compliance and the protection of personal information
- Strong identity management as the linchpin for "tell us once" and partnering with stakeholders
- Data security, integrity and standards, plus disaggregated data to support equity, diversity and inclusion goals
- Legislative and regulatory authorities (e.g., advanced analytics)
- Broader public policy alignment (e.g., safety and security of Canadians)

3 Inform a cross-functional approach for communicating Vision internally and externally as required, including a common DPM lexicon

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TERMS OF REFERENCE
DIGITAL TRANSFORMATION PROGRAMME TEAM

MANDATE

The Digital Transformation Programme Team (DTPT)) is the leadership team responsible for delivering the full scope of Digital Transformation at IRCC. Digital Transformation is delivered by five (5) levers in the Transformation Programme: Digital Platform Modernization (DPM), Digital Journey Labs, Integrated Lean Transformation, Change Management Digital Industry Partnerships. The DTPT is also responsible for providing key integration across all working areas of the Transformation Office, which is led by the Transformation Office and the Transformation Engagement and Sustainability teams.

RESPONSIBILITIES

- **Supporting the Programme Managers** in the delivery of the programme activities and projects;
- **Providing a strategic overview** of all Transformation projects and interdependencies, and reporting upwards to senior management;
- **Financial Accounting:** Assisting the Programme Managers with budget control, maintaining status reports on all projects in the programme;
- **Ensuring visibility and accountability** for project deliverables and horizontal integration across the project teams;
- **Monitoring and Control:** Ensuring that the delivery of outputs or services from the projects meets programme requirements in line with the Programme Business Case and Programme Plan, and is to the appropriate quality, on time and within budget;
- **Tracking and Reporting:** Integrating all elements of the program to track measurements and report on progress against plans, as well as risks, issues and benefits;
- Quality Control: Establishing consistent practices and standards adhering to the programme governance arrangements;
- **Change Control:** Registering and analyzing requested programme changes;
- Carrying out **health checks and advising on solutions** during the lifetime of the programme and individual projects.
- **Benefits management:** ensuring benefits across all projects are brought together for integrated oversight and management;
- **Stakeholder Engagement:** Ensuring a consistent approach to stakeholder engagement, management and communication across the programme and all projects, maintaining a list of stakeholders and their interests; and
- **Information Management:** Holding master copies of all programme information, generating all necessary quality and assurance management documentation, maintaining, controlling, and updating programme documentation.

DECISION-MAKING AUTHORITY

As a sub-committee of the Digital Transformation Programme Board (DTPB), DTPB acts as a delegated decision-making authority. Inconclusive decisions at this Delivery Governance-level will require further direction and will be discussed at the Programme Governance-level (DTPB).

The principle for approvals is to align final approval level according to the impact/criticality of the deliverable/milestone.

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As such, project and programme decisions related to the Day-to-Day operations can be made by the TPTC and do not require additional governance approvals. Examples of these types of decisions include:

- Approval of the Programme Charter and Programme Preparation Plan
- Approval of the Programme Quality and Assurance plan
- Approval of Project plans
- Approval of Stakeholder Engagement and Communication plans

FREQUENCY OF MEETINGS

DTPT will meet bi-weekly; meetings will generally be held for a duration of two hours with the possibility of extension as required by the agenda. DTPT meetings will be held on alternating weeks with the DTPB meetings.

ADMINISTRATION

Membership

Co-Chairs
Director General, Transformation
Director General, Digital Strategy

Members
Director, Transformation Office
Director, Transformation Engagement and Sustainability
Executive Director, Digital Platform Modernization
Director, DPM – Phase 1 and 2, Stabilize and Standardize
Director, DPM – Phase 3
Director, Digital Industry Partnerships
Director, Integrated Lean Transformation
Director, Digital Journey Lab

Observer(s)
Senior Advisor, Office of the Assistant Deputy Minister Transformation and Digital Strategy / Chief Information Officer
Senior Advisor, Transformation Branch, Transformation Engagement and Sustainability

Attendance

When a co-chair is absent priority is given to the attending co-chair.

When both co-chairs are absent chairing of the meeting is the responsibility of the Director of the Transformation Office.

When a member is absent, only their actor will be permitted to attend on their behalf. No other substitutes will be allowed. It is expected that use of a designate will be kept to a minimum.

Quorum

A minimum of 50 percent of members (including replacements) must be present at any of its meetings to make the decisions valid. Final decision will be made by the co-chairs should members not reach an agreement.

Secretariat Support

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Coordination support for the DTPT is provided by Transformation Engagement and Sustainability (TES) including work planning, issue identification, forward agenda, reporting tools, quality control, meeting coordination, hospitality, and agenda management.

Meeting Material and Presentation

TES leads will provide the necessary meeting material to TPTC, 2 days prior to the scheduled presentation.

Evaluation

The Terms of Reference will be reviewed on annual basis during the summer period.

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MODERNISATION SECTO

Modernisation Sector: Accountable for the overall management, alignment and delivery of DPM.
Sectors: Responsible for the delivery of work that falls under their area of expertise.
List of sectors: Modernization (MOD); Operations (Ops) ; Strategic Program and Policy (SPP); Finance Security and Administration (FSA) Settlement and Integration (SET) Transformation and Digital Soluti

TBS Section	Functional Activity	Sub Activities and DOTES	Work packages	Lead Sector	Collaborating Sectors								
					OPS	TDSS	SPP	FSA	SET	CS	COMS	MOD	LEGAL
	Business Process Optimization Future	**Business Vision and Requirements +Digital Journey Labs + Lean Management Wave: Citizenship (CIT) +Lean Management Wave: Permanent Resident (PR) Spousal** **DOTES: #31, 18, 21**	Future Operating Model: **Business Process Design**	OPS		X	X	X	X	X		X	
			Future Operating Model: **Employees Experience (UX)**			X	X		X	X		X	
			Future Operating Model: **Client Experience (CX)**			X	X		X	X		X	
			Future Operating Model: **Planning and Performance mgmt**			X	X	X	X	X		X	X

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A	Business Vision, Operational Model, and Policy Foundations		Delivery of Resettlement Assistance Program and Management of Service Providers Organizations	SET	X	X	X	X		X		X	
			Future Business Vision		X	X		X	X	X		X	X
		Policy Authorities DOTES: # 4, 60, 61	Future Operating Model: Policy and Program Foundations	SPP	X	X		X	X	X		X	X
			Legal Framework		X	X			X	X		X	X
		Privacy, Data and Information Management DOTES : # 5, 30	Data and information Management	SPP	X	X			X			X	X
				CS/MOD	X	X	X					X	X
	Programme Management	Architecture and Capabilities Management + Security DOTES :(#17, 15, 16, 23)	Solutions Requirements										
B					X	X	X	X	X	X	X		X

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	Programme Management + Stakeholder Engagement	**Change Management + Stakeholder Management +External Stakeholders: NGOs +External Stakeholders: OGD +External Stakeholders: PTs + Internal Stakeholders + Communications** **DOTES: # 36, 22, 56, 65**	**Organizational Readiness - Change Management Planning**	MOD	X	X	X	X	X	X	X		X
				CS	X	X	X	X	X			X	
C		**Oversight & Assurance + Programme Governance** **DOTES: # 8**	**Governance**	CS	X	X	X	X	X			X	
			Programme (portfolio) management and Oversight										
	Programme Management												

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Project and Programme Management	**Programme Planning and Delivery**	MOD	X	X	X	X	X	X	

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DR: DPM III - HIGH LEVEL MASTER JOINT WORK PLAN

ons (TDSS);	KEY DELIVERABLES (ARTEFACTS) AND TIM		
OGDs	2021-2022	2022-2	
	Q4	Q1	Q2
X	Baseline: Business processes (Similarities & differences between programs): TR→ PR → Settlement → CIT → PPT	Future State - Strategic Direction: for all programs/Business lines (including Settlement delivery design) → Intake Design; → ID Validation → Eligibility → Admissibility → Appointment Scheduling → Issuance/decision → Post Issuance/decision (including printing, mailing , shipping)	
X	Baseline: employee's experience baseline	Future State - Strategic Direction: employee experience design and capabilities	
X	Baseline: Clients' experience baselining	Future State - Strategic Direction: Client experience design and capabilities → Channel Strategy → Service Strategy : Communication from IRCC to clients; Management of client inquiries (call centres / email etc.)	
X	Baseline: reporting and service standard management	Future State - Strategic Direction: Operational and departemental reporting requirements and service standard management Future State - Strategic Direction: Inventory Management Model	Future State - Strategic Direction: Workforce/Workload Management

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	Baseline of current RAP delivery and SPO management platform	Future State : Strategic Direction of RAP delivery and SPO management platform	
	Advance and refine Business Vision, Logic Model and KPIs		
X	Baseline: current state program outcomes and program integrity measures to support benefit realization assessment	Future State: Program vision for all lines of business -Assess program "transformational" c transformations under way. Build in equity and GBA+ prin Approach to Identity management : Continuum parameters (and Tell us once principle) Risk tolerance profile to support risk based decision approach Design parameters for analytics and automation capabilities that support administrative c	
X	Baseline: Detailed analysis of the Department's enabling legal authorities and policy frameworks	Work Plan: policy, legislative and regulatory amendments (Citizenship Act, Passport Order, I (IRPA), Immigration and Refugee Protection Regulations (	
	Baseline: Current state- Mapping of data and gap analysis		Data Princ → Collection, manageme → Establishment of Data sta
	Baseline: Privacy Framework Review		
	Baseline: IT Infrastructure and applications	Future state : IT infrastructure /applications (business/reporting, applications, information, s solution) Cloud Authority to Operate (ATO), Partners sup	
	Reference Architecture	Data Architecture	Solution Architecture

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X

Stakeholders assessment

Change Impacts Assessment

Organizational Readiness Assessment

X

Direction on Engagement Activities (engagement activites to be carried out by all secto

Execution of HR/Capacity Strategy for Definition Phas

Align Executive Corporate Governance Model for Definition phase (ADM level & above)

Manage Executive Corporate Governance and Le

X

Identify Governance for Implementai

Programme Framework

Programme management plan &

Alignment with other government-wide solutions

Business Case: Alignment of artefacts devlopment Vision, outcomes, current state baselines, Future states , Organizati

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X	Scope Defintion/Confirmation
	Prioritization of capabil
	Risk and mitigati
	Benefit Realization Plan (in conjunction with Logic Model development)
X	Identi
X	

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ELINES

023

Q3 Q4

Resources profile to support risk based decision

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›pportunity. Alignment with program
.ciples.
: TR→ PR → Settlement → CIT → PPT

decision-making and others activities.

:mmigration and Refugee Protection Act
IRPR))

iples :
:nt and info sharing
ındards and guidelines

Initiate Privacy Impact Assessement (minimun 1 year to complete)

ecurity, enterprise architecture (technical-
port)

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s.21(1)(b)

Communication Strategy

Training Strategy

Change Management Strategy/Plans

ors/branches on an ongoing basis)

se

HR/Capacity Strategy for Implementaiton Phase

eadership Alignment (ADM level & above)

ton Phase (ADM level & above)

& tranches gating approach

Programme Charter

onal Readiness Strategies and Implementation Roadmap and Cost

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ities/Programs/BL

Implementation Roadmap and tranches identification

on strategies

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DPM-FUNDED ACTIVITIES

COMPLEMENTARY INITIATIVES

TRANSFORMATION AT IRCC

DRAFT – for comment

Modernizing our current operations, while providing a blueprint for broader transformation

Program and Policy Foundation

COVID Innovations
COVID response demonstrated benefits of program agility and encouraged innovation (e.g. virtual citizenship ceremonies), accelerating many changes already underway at IRCC.

Modernizing Authorities
Assess the scope of legislative and regulatory changes that may be needed to fully unlock the potential of a new digital platform.

Program Renewal
Modernize programs and operations (e.g. Visitor Transformation, Integrated Delivery Initiative, Express Entry 2.0, Identity Management) to take advantage of the new capabilities enabled through renewal of core IT systems.

People and Ways of Working

Integrated Lean Transformation
Apply Lean methodologies to optimize day-to-day operations.

Digital Journey Labs
Review and modernize how IRCC delivers its services to clients (e.g. MyAccount) and optimize the ways of working, one line of business at a time.

Digital Industry Partnerships
Leverage industry innovation to accelerate transformation by identifying and procuring existing solutions to modernize IRCC services.

Digital Factory CoE
Centre of Expertise will support Labs with coaching and alignment on: technical solutions, design strategies, agile practices and value realization.

Data

Data Foundations
Creation of Chief Data Officer Branch and Data Strategy. Strengthening governance so quality data underpins our modernization ambitions.

Data Enablers
Mapping out how data will integrate into the design and implementation of DPM. This will support "tell us once".

Technology Foundation

DPM Phases 1&2:
Modernize GCMS, including migrating to SSC Enterprise Data Center and updating server infrastructure, and advance Technical Debt Reduction to achieve stable legacy systems.

GCMS Disaster Recovery

IT Enabled Projects
Expand technical capabilities with initiatives leveraging GCMS "legacy" architecture (e.g. Atlantic Immigration; Passport Modernization including automation) or non-GCMS "transformation" architecture (e.g. Tempo, Chinook).

DPM Phase 2: Cloud Connectivity
Establish a reliable environment for transformation, building the 'digital runway' to launch modern services.

Digital Opportunities and Transformation Enablers
Define requirements for organizational readiness to support transformation (e.g. Security, Analytics, and Artificial Intelligence, Digital Services).

DPM Phase 3
The most complex phase of our Digital Platform Modernization, yielding the most significant benefits for Canadians and clients. IRCC is actively engaged in defining a vision (informing our work plan) for the new digital platform and its capabilities.

Change Management and Engagement
Provide expertise, tools, products and strategies to enhance employees' change adaptability and encourage a transformation mindset.

SUSTAINING CURRENT OPERATIONS — **ENABLING TRANSFORMATION** — **BUILDING TOWARD FUTURE STATE**

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Reporting Period: 23/08/2021 – 03/09/2021

Transformation Results, Risks, Issues, and Progress

5-Lever Rollup

LEVER	KEY ITEM	UPDATE	RISKS & ISSUES
Digital Platform Modernization	Phases 1 & 2 Phase 3 DR	**Phase 1 & 2 –TDR and Cloud projects continue to progress their Phase 1 deliverables. Presentation to DM Core moved to Oct to better align with Independent 3rd Party Review (ITPR) that began Sept 1.** **Phase 3 –** CFO determined the budget for Definition phase would be $55M (42% reduction), which has been approved by the DM. **DR** – On target for Production Go-live for Oct 5th	• **DPM I & II Phase 2 funding** – DPM I & II is working towards unfreezing Phase 2 funds by completing Phase 1 deliverables and the ITPR. Results to be shared with DM Core who would produce a recommendation for Treasury Board on DPM phase 2 funding. • **DPM III – Funding Constraints** – Due to funding constraints, the MOU with PSPC AB has yet to be signed. This has impacts on activities required to support Industry Engagement as well as other procurement activities. In addition, IRCC is unable to procure the services of Gartner to support the development of the required procurement artifacts that will be shared with industry.
Digital Journey Labs	Digital Capture Chinook TR eApp TR to PR PR SCLPs MVP Build CIT eApp & processing tool MyAccount SP Journey Lab Digital Factory COE Digital Talent Engine	**Digital Capture** – MVP still at risk as a result of the prioritization exercise. Confirmation pending from IT Ops that work will be prioritized. **Chinook 1.5** – Tedious account creation impacts ability to scale as planned of the Officer tool. Working with IT Ops to find a potential solution **TR eAPP** – Over 2,950 TRV and around 800 SP eApplications submitted to GCMS. With borders re-opening on September 7th, enhancements are being made to the TR e-App. **TR to PR** –Expansion to Work Permit CR's and APR portal at high risk as a result of the prioritization exercise and IT Ops capacity and planning challenges. **PR SCLPs MVP Build :** Completed the re-baselined MVP schedule and roadmap. New launch date scheduled for October 25th **Cit eApp** – Finalizing the build to support online submissions of passport copies for paper applications. **Study Permit** – 25 features have been selected to present at the MVP workshop	• **Chinook 1.5** - Department's focus on settlement of 20 000 Afghan nationals, re-opening of borders, and need to tackle COVID-19 related backlogs in numerous business lines may impacts team's ability to deliver MVP for Application and Activity Module (AAM) by end of September. • **TRV client Team** – Need to find a solution for testing with physical passports. There are a few options being considered including: Mock passports from IT Ops or Test passports from CBSA. Best current interim solution would be approval to use personal passports for testing the eMRTD scan, facial biometric verification and liveness check • **IT OPS prioritization exercise (Digital Capture & TR eApp)** - IT Ops resources will be shifted from Digital capture/Work permit TR eApp for other high priorities initiatives. DJL is considering options such as piloting with Myaccount or TRV apply MVP. • **MyAccount** – Case Status Trackers were built by Accenture and are specifically made to work with their specific UI. The trackers are not transferrable to other solutions.
Digital Industry Partnerships	PR Digital Intake PR Case Status Tracker RPA COE	**Robotic Process Automation** – RPA COE beginning development of new RPAs for PR Intake.	• No significant risks/ issues to report.
Integrated Lean Transformation	CIT Grant Kaizen Lean COE	**Citizenship Grant Kaizen Project**– Held virtual Solutions Workshop with Change Team and members from DN West Scheduling Team to determine root causes of 3 areas of opportunity.	• No significant risks/ issues to report.
Change Management	Transfo. Comms CM COE	**Change MGMT CoE** – TDSS Anti Racism Committee shared IRCC Anti-Racism Survey Analysis for TDSS sector.	• No significant risks/ issues to report.

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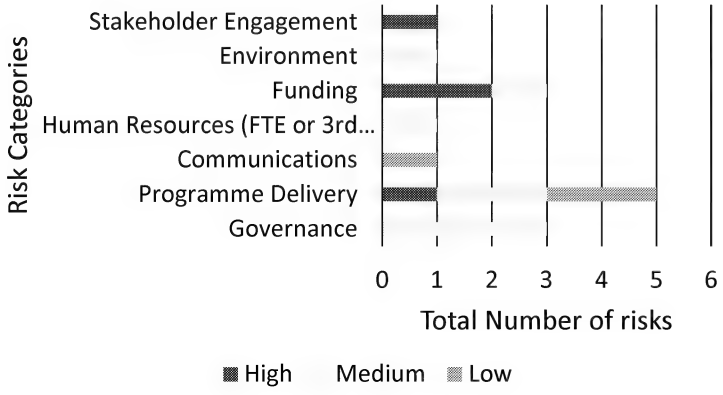
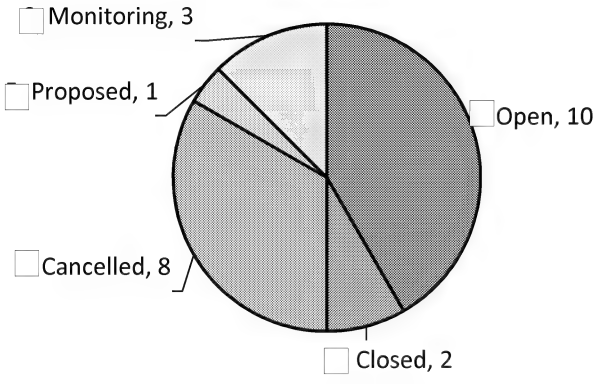
Transformation Programme Risks and Issues – Current Highlights

Reporting Period: 23/08/2021 – 03/09/2021

Risk by Category



Risk Status Count



Name		Description	Progress
Programme Issue(s)			
Overall Transformation scope, strategy, and narrative remain unclear		There is a lack of clarity on the overall Transformation scope, strategy, narrative, and business outcomes.	• Scope boundary document is being drafted.
Programme Risk(s)			
Competing IT Priorities	High	There is a risk that with numerous Departmental initiatives and continued business demands on IT, there may be capacity restraints to deliver upon the multi-year Transformation Programme priorities. Increased resource pressures and introduced challenges to the GCMS release schedule may delay critical DPM milestones or place new business demands at risk.	• Additional mitigation measures were added and are expected to be completed by October.

This section only provides key risk and issue-related highlights. For all programme-level risks and issues, please consult the Digital Transformation risk and issue log.

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Data related to usage of key products delivered by Transformation across business lines

Reporting Period: 23/08/2021 – 03/09/2021

Temporary Residents

Dynamic TR eApp

- The **Dynamic TR eApp** is a **new**, **simpler way** to **apply** for clients.
- It was first launched only to **select TRV** applicants in **November 2020**.
- It was **expanded** to **study permits** in **February** 2021. It is currently available to **60%** of these applicants, with plans to scale to SDS stream in the fall.
- It is planned to be expanded to work permits in the fall, pending confirmation for R26.
- As of September 3rd, **3,589** TRV **applications** have been **submitted** using this new process.
- As of September 3rd, **841 Study Permit** applications have been **submitted** via the TR eApp.
- Prior to making the new TR dynamic eApp mandatory for 100% of applicants, access for representatives may need to be added to the new IRCC portal and WP (pending prioritization).

Permanent Residents

PR Digital Intake Portal

- Launched in **March 2020**, it allows clients to **submit PR applications online**, along with supporting documents.
- As of September 3rd, **over 7,600 applications** have been **submitted** through this portal.

TR to PR Pathways

- In May 2021, the TR to PR pathways initiative was launched in order to help reach ambitious immigration levels. As of August 30th, **83,903 applications have been received** and the caps for *Essential, Non-Health Care* and *Recent International Graduates* streams have been reached.

Citizenship

Online Citizenship Testing

As of **November 2020**, IRCC administers its **citizenship tests online**. Since then, **139,351 tests** have been successfully **administered**. **5,918** of these were administered over the last **two weeks**.

Citizenship eApp

- The **Citizenship eApp pilot** was launched in **November 2020**. Currently, 100% of prospective applicants are shown a banner on the IRCC website to advertise the pilot.
- Clients who are **aged 18+** and are applying **alone without a representative** are **eligible** to submit an application. **19,858** applications have been submitted **so far** (**3,410** in the last two weeks).

Online Case Status Tracker

- The online **citizenship case status tracker** was also launched in **May 2021**. To date, over **301,000 accounts have been activated**, with a total of **3.5 million** logins.

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Key Updates

- DPM Phase I and II continues to track yellow due to several outstanding issues and risks.
- The Independent 3rd Party Review (ITPR) kickoff meeting was held by DPM and Internal Audit with Samson & Co on September 1st.
- Completed Phase 1 extension Change Request (CR) which is going through review and scheduled for discussion at the next Management Board Meeting the week of September 6.

Highlights of the schedule changes include:

- Moving the DM core meeting to October and target Phase 2 Funding Approval in November to better align with the Independent Third Party Review (ITPR) completion.

Planned next period

- Complete TDR Change Request and review.

Not Relevant

Key Updates

- CFO determined the budget for Definition phase would be $55M (42% reduction), which has been approved by the DM. Programme team working with branches to implement this change.
- TBS Concept Case completed and approved.
- Targeting launch dates of September 22 and 24 for OGD DGs and Directors Working Groups.

Planned next period

Not Relevant

- Incorporate feedback from stakeholders
- Finalize and get approvals (as applicable) on Procurement Strategy, Industry Day deck, RFI and Plan for Industry Engagement.
- Complete and share draft of updated Business Case with stakeholders.
- Complete draft Stakeholder and Engagement Strategy for coming months.

Key Updates.

- 1st Go decision approved: transition from JETS Staging to EDC Staging is completed. Environment testing and stabilization is in progress until Sept 14th.
- 3rd iteration of the of the disaster recovery testing with the DR site is complete.
- Overall functional testing is 99% complete.
- Performance testing is 99% complete with overall better performance than JETS production.
- On target for Production Go-live for Oct 5th.

Planned next period

- Initiate Staging transition over to Ops teams.
- Complete overall Operational readiness for Prod-Go live (Oct 5th).

Success Stories

- ✓ ***DPM 1 & 2*** *- Cloud Centre of Excellence operationalization activities are underway including expanding the CCoE Board membership to include TDSS Cloud resources. Activation expected by the week of Sept 13th.*

Relevant

- ✓ ***GCMS DR*** *– Cutover from JETS Staging to EDC Staging is complete*

DPM Cloud Intake and Workflow Pilot	10/09/2021	
DPM Cloud Application Migration Strategy	24/09/2021	
DPM TDR HIP Cloud AWS DEV Environment Setup	04/10/2021	
DR- Production Go-live	05/10/2021	
DPM Phase 1 Completion	26/11/2021	

Not Relevant

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Key updates

- MVP at high risk as a result of the prioritization exercise, IT Ops capacity and planning challenges.
- Finalizing the work for Phase 1 phase of the MVP (Optical character recognition of the passport machine readable zone)
- Phase 2 build has begun for Digital Travel Credential (DTC) capabilities in the Mobile App.
- Received Software Development Kit (SDK) from vendor for Android and began work on integration. SDK for iOs expected mid September.
- Continuing to work with partners to deliver Phase 3- Mobile App integration with IRCC portal.

Planned next period

- Discussion with IT Ops to assess options to support MVP release.
- Finalize Procurement contract and Vendor plug-in.
- Defining pilot success criteria, including testing strategy for the integration of the vendor solution as well as the integration with the IRCC Portal. Details to be shared with relevant stakeholders.

Key updates

- Continuing to track yellow due to delays in further expanding the Officer tool to more users. The tool in general is on track.
- Tedious account creation impacts ability to scale as planned for the Officer tool. Working with IT Ops to find a potential solution.
- Shifting Network priorities is causing difficulties when engaging with usability testers. This is affecting the wider roll-out of the tool, which will be delayed until priorities stabilize.
- 2,488 Study Permits and 153 Work Permits have been successfully processed to date using the Chinook 1.5.

Planned next period

- Continue to test improvements to the data upload process; potentially leveraging MS Data Factory.
- Finalize the Applications and Activity Management (AAM) module development.
- With SCED approved and planned for December 2021, early work will start to prepare and support. Set to begin sprinting in later October/November 2021.

Key updates

- Expansion to Work Permit CR's and APR portal at high risk as a result of the prioritization exercise, IT Ops capacity and planning challenges.
- Continued engaging stakeholders to ramp up the TR e-App and exit the pilot phase. Recommended expansion date is September 27th. Go/no-go decision is set for the week of September 20th but there is a risk that the TRV strategy and border re-opening may delay expansion.
- Finalized the business requirements and designs for Digital Capture within the IRCC Portal and TR e-App.

Planned next period

- Expansion for Open Work permit scheduled for R26. Awaiting confirmation of prioritization for other Work permit streams.
- Continue work required in preparation of the borders re-opening.
- Continue working closely with the TRV Journey Lab to identify and refine scenarios for Digital Capture in the portal and e-App.

- ✓ *Requirements and development completed in preparation for the borders re-opening on Sept 7 as the TR eApp will be part of the strategy/solution.*
- ✓ *Approximately* 837 *Study Permit applications and* ***3,433*** *TRV applications submitted to GCMS.*

(TR e-App) Finish work for the TR strategy and reopening of borders	07/09/2021	
(Chinook) Complete MVP for Applications and Activity Management module for Chinook 1.5	20/09/2021	
(TR eApp) Exit the Pilot phase of TR e-App	27/09/2021	
(Digital Capture) Release MVP Phase 1	30/09/2021	
(Digital Capture) Release MVP Phase 2	04/10/2021	
(TR eApp) Authorized Paid Representatives (IRCC Portal)	02/11/2021	
(TR e-App) Open Work Permit (OWP) scheduled Release	02/11/2021	

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Reporting Period: 23/08/2021 – 03/09/2021

Key updates

- Tracking yellow due to continued risk on rate of TRPR RPA file movement to GCMS.
- Discussion and decision for the TRPR Bot Transition Strategy will occur the week of Sept. 6th. With the Bots currently being run by the Labs, a decision on whether to transfer to CN or continue at DJL must be attained. This is required so that HR paperwork can begin for upcoming expiring contracts to maintain business continuity.

Planned next period

- Schedule discussion with Directors for a decision on the Transition plan.
- Working with RPA- COE, Ops and STT to outline new bot process for re-initializing the file upload process for an existing application.
- Exploring the possibility of a semi-integration option to increase transfer rate of applications to GCMS.

[redacted]

Key updates

- Release of Cumulus (MVP 1) is delayed (4 to 6 weeks) due to various challenges related to an ambitious initial MVP scope, added features based on business needs, dependency on others for data, issues around accessing documents from e-Docs, and IT Security requirements.
- Working closely with EDW to define a process and path forward.

Planned next period

- Identify officers that will be taking part in the initial roll out group and develop a training plan.
- Usability testing with focus groups in Beijing, Hong Kong and Manila (IN), and CIO-S (CN) to begin October 12th.
- Engagement with the networks to plan training schedule.
- Provide a demo of Cumulus (Case Processing tool) to CN's extended management on September 9th.

Key update

- Continued to provide support since expansion of eApp to 100% of eligible clients. No performance or technical issues have occurred to date.
- Finalizing the build to support online submissions of passport copies for paper applications. Working on the testing plan for UAT with DN mid-September.

Planned next period

- End-to-end testing of features to support online submission of passport copies for clients who applied on paper.
- Refine work items in order to build short-term solution to support clients who are applying with the help of a representative, addressing identified legal risk. The build for this short-term solution is set to begin on September 15th.

- ✓ *Over 135,000 accounts have been created by clients under the TR to PR pathway initiative and 1,600 applications have positive final decisions as of August 27th.*
- ✓ *19,858 e-apps have been received in the Cit Intake Tool; 6,770 have been reviewed, 92% of which have been deemed complete.*

(Cit) Online submission of passport copies for paper applicants	30/09/2021	
(PR SCLP Lab) Complete MVP 1	25/10/2021	

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Key update

- MVP 1 is set to be completed on April 4th, 2022.
- Updated the Business Case based on new MVP features.
- As the Lab was sizing their MVP features, 4 options were identified for recommendation as a stand-alone solution in order to maximize added value. This solution entails the creation of a new portal to increase immediate value to clients while setting up the foundation for a long-term solution. This will also allow the team time to procure an enterprise wide solution.

Planned next period

- Confirm the MVP for the Stand-alone solution.
- Present the MyAccount North Star Vision and roadmap to DGs for endorsement on September 15th.
- Present proposed updated MyAccount name to senior management.
- Continue to research adding tools/functionality for the Login and MFA as well as the Status Trackers in MyAccount.

Key update

- 25 features have been selected to present at the MVP workshop.
- Feature sizing under-way and continued conducting feasibility sizing on all the features.
- North Star vision for the Study Permit Journey has been finalized.

Planned next period

- MVP Workshop scheduled for September 8th and 9th.

✓ ***25 features have been selected to present at the MVP workshop for the SP Lab.***

(Study Permit) Minimum Viable Product (MVP) Workshops	08/09/2021	
(MyAccount) Complete MVP 1	04/04/2022	

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Key update

- Continued providing support to Study Permit Lab leading up to MVP.
- Finalized standardized business templates (i.e., baseline, business case & roadmap) to foster sustainability as scaling begins.
- Agile reset workshop to reset TRV client team and enable delivery.

Planned next period

- Continue drafting the integrated digital factory roadmap.
- Develop plan and frame for selecting next journeys and their sequence (labs 6 through 9).
- Support MVP workshop for Study Permit Lab.

Key update

- Added ~ 8 candidates to the pipeline (50 in active pipeline, 257 in CV / screening backlog).
- Finalized temporary positions to be created with classification.
- Participated in Career Fair – Black Professionals Career Fair and Ontario Tech for new graduates.
- Completed manager checklist for new employees – to be rolled out.

Planned next period

- Continue to research Indigenous recruitment and partnership strategies.
- Create recruiter process checklist/guide.
- Roll out development guides with CoE.
- Continue active recruitment for the upcoming Work Permit Lab.
- Staff SWAT team positions.
- Review lessons learned for candidate journey.
- Create Mental Health & Wellness, and Employee Support pages.
- Roll out lunch and learns.

✓ ***Held the first visioning session to define meaning, purpose, norms, and mandate of COE.***

(DTE) Staff "SWAT" Team for COE	20/09/2021	
(DTE) Lab 6 – Staff positions and roll-out	11/10/2021	

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Key updates

- Continued to work on additional requirements identified through testing of PEF and Training environments.
- Release of real time reporting scheduled for September 2nd.

Planned next period

- MVP 4 deployment rescheduled due to the election. This should not delay the full release scheduled for September 14th.
- Exploring additional functionality that could be included with the September 14th release.

Key updates

- Completed requirements gathering.
- Began development of MVP.
- Finalized data model.
- Conducted review of data model with Privacy, as vendor requires a Production extract. Sensitive data to be obfuscated.

Planned next period

- Continue development of MVP.
- Complete draft of Privacy Needs Assessment.

Key updates

- RPA COE beginning development of new RPAs for PR Intake, CN Digitization (2 additional offices).
- Continued advocating to prioritize RPA as a departmental IT priority that could help support IRCC priorities (e.g. Levels). RPA currently listed as #27.
- RPA COE continues to support IN, CSC and TRPR RPA initiatives to stabilize and scale.
- RPA COE continues to support ongoing development of RPA initiatives across the department including HR and CN Digitization.
- Passport Digital Services and PR Intake have been added to the pipeline and will be the next two RPA initiatives to be launched (no confirmed date yet).

Planned next period

- Continue standing up the RPA COE with internal and external stakeholders/industry partners.
- Configuration of cloud solution underway. IT Security has been engaged and assessment will begin shortly.

✓ ***PR Intake MVP 3 was launched on 27-May-2021 as scheduled and is performing well. To date, over 29,000 applications have been created and over 7,600 have been submitted.***

Launch PR Digital Intake MVP 4	14/09/2021	

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Project PII (DN West Offices)

Key updates

- Held virtual Solutions Workshop with Change Team and members from DN West Scheduling Team to determine root causes of 3 areas of opportunity and brainstorm solutions.
- Set date to host Gallery Walk presentations to DN West CIT staff.

Planned next period

- Deep dive on results of Prioritization Matrix, determine initiatives to pilot (feasibility and benefits) and develop post-pilot data collection plan.
- Present solution initiatives to DN West and ILT management for approval.
- Establish training teams and dates for Lean Six Sigma (LSS) capability building sessions for Kaizen-affected DN West staff.

Key updates

- Discussed and prioritized potential areas for improvement with CPC-M managers.

Planned next period

- Conduct a 1.5 hour training session to coach select SMEs and CPC-M management on how to complete an A3 template.

Key updates

- Continued planning the delivery of LSS 101 training sessions to all DN offices in the West.
- Prepared to deliver LSS 101 and Lean Management Systems (LMS) training sessions that will be delivered via the Learning Academy on a Monthly basis (Oct-Mar).

Planned next period

- Align with DN West managers on the dates for the upcoming LSS 101 training sessions.
- Prepare for the virtual workshop sessions being delivered to IRCC Beijing.
- Record LSS 101 training (Theory) and send it to IRCC Beijing.

- ✓ *Conducted successfully Gallery Walk for analyze phase with DN West Director and Mangers.*
- ✓ *Secured alignment from IRCC Beijing manager on the training proposal.*

(Capacity Tool) MVP release/ demo	30/09/2021	
(MTL) Present improve & control phase results (aka gallery walk) to all Montreal Citizenship staff	30/09/2021	
Deliver Lean Six Sigma 101 first virtual workshop sessions to IRCC Beijing	TBD	
Deliver Lean Six Sigma 101 virtual training sessions to DN west offices	TBD	

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Key updates

- Continued planning & coordinating Phase 2 of Transformation Information 101 sessions to be delivered in the Fall. TES will begin presentations mid-September for working-level employees in the Centralized and Domestic Network offices located in the Ontario Region.
- Continued to develop communication products, to be shared on Connexion, highlighting senior leaderships future vision for IRCC.
- Coordinated with ECMB to validate the current Change Management Virtual Library.
- Continued planning and developing future engagement sessions with the DPM team for Middle Managers across the Department.
- Finalized national union speaking notes and dashboard for the ADM.
- Provided support to the Governance team for risks associated to leadership alignment, roles and responsibilities, and governance structures.
- Developed communication articles and met with key actors to produce content for future issues of the TDSS Newsletter.

Planned next period

- Develop Issue #2 Cocoon, TDSS wide newsletter to be released in Fall 2021.
- Continue planning the next phase of information sessions for delivery in Fall 2021.
- Finalize DPM leadership interview articles on Blair Haddock and Samantha McDonald.

Key updates

- Engaged with impacted stakeholders from CN and IN to discuss recommended change plans in preparation of PR SCLP MVP launch. Developed DG level presentation regarding roles and responsibilities for change management delivery.
- Finalized the GCMS DR Change Readiness Survey for distribution to IT Ops employees on level of awareness, communication and training.
- Socialized high-level CM plan for MyAccount Lab with Journey Owner and Scrum Master. TCMO to update plan based on new sprint cycles and will prioritize CM activities on a monthly basis.
- Continued establishing an RFP and SoW for the procurement of a Programme level Change Management Tool.
- Continued to participate in SMEs connects for Study Permit Lab to build a high level CM plan.

Planned next period

- Analyze results of GCMS DR Change Readiness Survey and create action plan, if required.
- Continue to enhance Change Impact Assessment and meet with SMEs to discuss training needs for the PR SCLP Lab.
- Continue building the Virtual Change Management Library with ECMB and OPS sector for IRCC employees.
- Refine drafts of communication documents and stakeholder engagement plan in support of the PR SCLP Lab based on feedback received.
- Update the Transformation Change Management Roadmap for Q3 for integration with the Transformation Programme Roadmap.
- Begin building a Change Communication Strategy and Plan in support of RPA.

* The green status reflects the health of the Center of Excellence deliverables, not the health of Change Management across the programme.

- ✓ *TCMO continued to develop close working relationship with TEC by contributing to the Integrated Transformation Communications and Engagement Tracker/ Tactical Plan.*
- ✓ *TDSS Anti Racism Committee shared IRCC Anti-Racism Survey Analysis for TDSS sector.*

Attend the MVP workshop for DJL#5	9/09/2021	
Present communication awareness piece to DN Area Directors	10/09/2021	
Impact Assessment for ILT Kaizen Montreal Cit office	15/09/2021	
Launch virtual change management library	30/09/2021	

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Digital Transformation Governance Secretariat

Reporting Period: 23/08/2021 – 03/09/2021

Announcements

Evergreen Forward Agenda

Evergreen Governance Calendar

DG Consultative Forum*

Upcoming Agenda - September 15

- ESDC Transformation Lesson's Learned
- MyAccount North Star vision and roadmap
- Citizenship e-app Update
- MSP 101- TBC
- TBS Assurance Framework - TBC

Previous Committee (September 1st)

- Record of Decisions

DT Programme Board & TransCom*

Next DTPB: September 17th

Next TransCom: September 24th

Upcoming Agenda - Proposed

- Oversight and Assurance Framework
- Governance Model Options
- Business End State Vision
- DJL Updates

Previous Committee

- DTPB (June 18) Record of Decisions
- TransCom (June 25) Record of Decisions

DT Interdepartmental Advisory Committees*

Next ADM Level: September 15th

Next DMA Level: September 22nd

Upcoming Agenda - Proposed

- DPM Phases I, II, and III (
- GCMS Disaster Recovery Update
- Seibel resourcing gaps
- DPM Funding

Not Relevant

Previous Committee

- ADM Level (June 21) Record of Decisions
- DMA Level (June 30) Record of Decisions

*These items and/or dates are tentative and are subject to modifications until final approval by the chairs. Please consult the evergreen Forward Agenda for updates.

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Digital Transformation Governance Strategic Direction

Reporting Period: 23/08/2021 – 03/09/2021

Governance Strategic Direction

Business and Policy Alignment

- Coordination of the DPM III Governance Discussions (DG Level).
- Co-Chair for the DPM III Governance Model Renewal Working Group.
- Coordination of the DPM III Business End State Vision Working Group.
- Articulation of Programme Management principles to align proposed DPM III governance framework with TBS Vision and outcomes based funding.
- Coordination of DPM III Organizational Readiness discussions.

Leadership Alignment

- Developing the proposed Governance Model that will be presented at Extended ExCom on September 13. Results and feedback from ExCom will determine next steps for the terms of reference for the Programme Board and TransCom.
- Supporting discussions of DPM Business End State Vision and Organizational Readiness, identifying considerations for roles and responsibilities, governance, and accountabilities.
- Continuing to work with IAAB to support an oversight and assurance strategy in line with TBS guidance.

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TRRIP*: Executive Summary – Programme Overview

Reporting Period: 23/08/2021 – 03/09/2021

Executive Attention Required

- **Competing IT priorities** - Different transformation teams are awaiting confirmation of which activities will be prioritized and request senior management intervention to increase communication. The Departmental Prioritization exercise has increased uncertainty regarding the continued availability of IT Ops resources. This uncertainty is putting different key DPM, DJL and DIP deliverables at risk such as **DJL's Digital Capture,** which has been changed to red health status due to uncertainty around the prioritization exercise.

Key Upcoming Items

- **DIP** – The next PR Digital intake MVP 4 enhancement will be deployed September 14th.
- **DPM/DR** – Production Go-live on target for Oct 5th

Key Programme Risks And Issues

Title	Type	Rating	Progress
Overall Transformation scope, strategy, and narrative remain unclear	Issue	N/A	The creation of the Modernization Sector will influence the scope document and overall narrative.
Competing IT Priorities	Risk	High	▪ Confirmed DPM priority with Intake Board. ▪ Ensured intake board new requests are assessed for the impact on projects within the digital transformation programme.

Rating is determined by crossing referencing the impact and the probability of the risk/issue. This section only provides key risk and issue-related highlights. For all programme-level risks and issues, please consult the Digital Transformation risk and issue log.

Summary of Accomplishments

- **DJL – TR eApp**: Requirements and development completed in preparation for the borders re-opening on Sept 7 as the TR eApp will be part of the strategy/solution.
- **DPM III:** First draft of TB SUB submitted.
- **DJL – TR to PR :** Over 135,000 accounts have been created by clients and 1,600 applications have positive final decisions as of August 27th.
- **DPM – DR:** Overall functional testing is 99% complete.
- **Change MGMT – COE:** TDSS Anti Racism Committee shared IRCC Anti-Racism Survey Analysis for TDSS sector.

Lever Statuses at a Glance

- Digital Platform Modernization
- Digital Journey Labs
- Digital Industry Partnerships
- Integrated Lean Transformation
- Change Management and Engagement

Initiative Health Changes Since Last Period

Digital Capture

Health status of *Digital Capture* has changed from yellow to red as MVP phase 1 is now at high risk of delay. This is a result of the departmental IT prioritization exercise and capacity. There is also a good chance that this will delay the release of MVP phase 2 scheduled for October 4th 2021.

**TRRIP = Transformation Results, Risks, Issues and Progress*

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Reporting Period: 23/08/2021 – 03/09/2021

Transformation Results, Risks, Issues, and Progress

5-Lever Rollup

LEVER	KEY ITEM	UPDATE	RISKS & ISSUES
Digital Platform Modernization	Phases 1 & 2 Phase 3 DR	**Phase 1 & 2 –TDR and Cloud projects continue to progress their Phase 1 deliverables. Presentation to DM Core moved to Oct to better align with Independent 3rd Party Review (ITPR) that began Sept 1.** **Phase 3 –** CFO determined the budget for Definition phase would be $55M (42% reduction), which has been approved by the DM. **DR** – On target for Production Go-live for Oct 5th	• **DPM I & II Phase 2 funding** – DPM I & II is working towards unfreezing Phase 2 funds by completing Phase 1 deliverables and the ITPR. Results to be shared with DM Core who would produce a recommendation for Treasury Board on DPM phase 2 funding. • **DPM III – Funding Constraints** – Due to funding constraints, the MOU with PSPC AB has yet to be signed. This has impacts on activities required to support Industry Engagement as well as other procurement activities. In addition, IRCC is unable to procure the services of Gartner to support the development of the required procurement artifacts that will be shared with industry.
Digital Journey Labs	Digital Capture Chinook TR eApp TR to PR PR SCLPs MVP Build CIT eApp & processing tool MyAccount SP Journey Lab Digital Factory COE Digital Talent Engine	**Digital Capture** – MVP still at risk as a result of the prioritization exercise. Confirmation pending from IT Ops that work will be prioritized. **Chinook 1.5** – Tedious account creation impacts ability to scale as planned of the Officer tool. Working with IT Ops to find a potential solution **TR eAPP** – Over 2,950 TRV and around 800 SP eApplications submitted to GCMS. With borders re-opening on September 7th, enhancements are being made to the TR e-App. **TR to PR** –Expansion to Work Permit CR's and APR portal at high risk as a result of the prioritization exercise and IT Ops capacity and planning challenges. **PR SCLPs MVP Build :** Completed the re-baselined MVP schedule and roadmap. New launch date scheduled for October 25th **Cit eApp** – Finalizing the build to support online submissions of passport copies for paper applications. **Study Permit** – 25 features have been selected to present at the MVP workshop	• **Chinook 1.5** - Department's focus on settlement of 20 000 Afghan nationals, re-opening of borders, and need to tackle COVID-19 related backlogs in numerous business lines may impacts team's ability to deliver MVP for Application and Activity Module (AAM) by end of September. • **TRV client Team** – Need to find a solution for testing with physical passports. There are a few options being considered including: Mock passports from IT Ops or Test passports from CBSA. Best current interim solution would be approval to use personal passports for testing the eMRTD scan, facial biometric verification and liveness check • **IT OPS prioritization exercise (Digital Capture & TR eApp)** - IT Ops resources will be shifted from Digital capture/Work permit TR eApp for other high priorities initiatives. DJL is considering options such as piloting with Myaccount or TRV apply MVP. • **MyAccount** – Case Status Trackers were built by Accenture and are specifically made to work with their specific UI. The trackers are not transferrable to other solutions.
Digital Industry Partnerships	PR Digital Intake PR Case Status Tracker RPA COE	**Robotic Process Automation** – RPA COE beginning development of new RPAs for PR Intake.	• No significant risks/ issues to report.
Integrated Lean Transformation	CIT Grant Kaizen Lean COE	**Citizenship Grant Kaizen Project**– Held virtual Solutions Workshop with Change Team and members from DN West Scheduling Team to determine root causes of 3 areas of opportunity.	• No significant risks/ issues to report.
Change Management	Transfo. Comms CM COE	**Change MGMT CoE** – TDSS Anti Racism Committee shared IRCC Anti-Racism Survey Analysis for TDSS sector.	• No significant risks/ issues to report.

Immigration, Refugees and Citizenship Canada | Immigration, Réfugiés et Citoyenneté Canada
Information disclosed under the Access to Information Act
L'information divulguée en vertu de la loi sur l'accès à l'information

TERMS OF REFERENCE
DIGITAL TRANSFORMATION PROGRAMME BOARD

MANDATE

The Digital Transformation Programme Board (DTPB) is responsible for implementing the five-year IRCC transformation roadmap. The committee, chaired at the Assistant Deputy Minister's level, is a forum for robust discussion and decision-making at the senior management level focusing on monitoring the transformation and Digital Platform Modernization (DPM) roadmaps and other transformation initiatives.

RESPONSIBILITIES

- Implementing the five-year transformation roadmap and reporting focuses on new technologies and business transformations in consultation with key corporate enablers.
- Approving transformation methodologies, frameworks and standards.
- Providing guidance and direction to service transformation initiatives, ensuring their alignment to the service strategy and the enterprise architecture of the Department, including IM/IT priorities.
- Providing guidance and direction to the Digital Platform Modernization roadmap and implementation initiatives.

DECISION-MAKING AUTHORITY

As a sub-committee of the Transformation Committee (TransCom), DTPB acts as a delegated decision-making authority. Inconclusive decisions will be discussed at the Corporate Governance-level (TransCom).

SUB-COMMITTEES

To ensure proper consultations at all levels, key DGs must be consulted prior to items proceeding to DTPB (e.g., DG-level committee - not limited to the list below, bilats, memos, etc.).

The following Director General (DG) committee feeder reports to DTPB:

- Digital Transformation Programme Team
- Departmental Enterprise Architecture Board (DEAB)

A high-level debrief of the DG committee meeting is to be provided to Corporate Governance Unit (CGU), within two-days following their meeting, and will be presented by the respective committee Chair(s) at DTPB.

FREQUENCY OF MEETINGS

DTPB will meet every six-weeks; meetings will generally be held for a duration of two hours with the possibility of extension as required by the agenda. DTPB meetings will be held the week before TransCom.

Ad hoc meetings will be scheduled as needed.

A-2021-54784-000168

Immigration, Refugees and Citizenship Canada | Immigration, Réfugiés et Citoyenneté Canada
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ADMINISTRATION

Membership

Co-chairs
Assistant Deputy Minister, Transformation and Digital Solutions / Chief Information Officer (CIO)
Assistant Deputy Minister, Modernization

Members
Senior Assistant Deputy Minister, Operations
Assistant Deputy Minister, Corporate Services
Assistant Deputy Minister, Finance, Security and Administration / Chief Financial Officer (CFO)
Assistant Deputy Minister, Vaccine Credentials
Assistant Deputy Minister, Strategic and Program Policy
Director General, Transformation
Director General, Citizenship & Passport Program
Director General, Chief Data Officer
Director General, Digital Strategy
Director General, Financial Strategy / Deputy Chief Financial Officer (DCFO)
Director General, Operational Planning & Performance
Director General, Ops Sector Lead to Support DPM Phase III
Director General, Communications
Executive Director and Senior General Counsel

Ex-officio
Director General, Integrated Corporate Business
Director General, Chief Audit Executive
Executive Director, Enterprise Change Management

Observers / Guests
Director, Transformation Engagement and Sustainability
Executive Director, Digital Investment Oversight Division, Office of the Chief Information Officer, Treasury Board Secretariat
CGU has been granted authority to deal with guest/observer requests, including:

- Interdependencies, subject matter experts and/or key analysts;
- New executives and new senior policy advisors from each sector, as well as nominees from the Professional Development Network (PDN) and Middle Manager (MM) Network.

Committee Advisor
Corporate Governance Unit Representative

The effective size of a committee has been set at 8-14 members ensuring all sectors are represented. The chair must be in agreement of any membership changes. New changes will be brought to ADM Tactics for final endorsement. Adding a new member will require the removal of an existing member (one for one rule) within the respective sector.

Attendance

When a co-chair is absent priority is given to an alternate ADM, not necessarily of the respective sector, as they need to report to TransCom. DG actors will be the last resort.

When a member is absent, priority will be given to another DG of the respective sector - actors will be the last resort. Other substitutes must be approved by the chair.

Ex-officio members will not require a replacement.

A-2021-54784-000169

Immigration, Refugees and Citizenship Canada | Immigration, Réfugiés et Citoyenneté Canada
Information disclosed under the Access to Information Act
L'information divulguée en vertu de la loi sur l'accès à l'information

In-person meetings

Presenters/observers are to arrive 30 minutes prior to their scheduled presentation and wait outside the boardroom for a representative to invite them in. Observers are not to sit at the table unless asked by the chair. Presenters/observers are asked to leave the boardroom following their item.

Virtual Meetings

When meetings are held through virtual means the following rules apply:

- All participants are encouraged to turn their video camera on.
- All microphones should be muted unless speaking.
- Presenters/observers are asked to join the virtual meeting only when an e-mail from the designated inbox has been received and promptly exit both the meeting and chat after the item has ended.

Quorum

A minimum of 50 percent of members must be present to make the decisions valid. ~~Final decisions will be made collectively by the chair and the Assistant Deputy Minister, Operations and the Associate Assistant Deputy Minister, Strategic and Program Policy.~~ Final decision will be made by the co-chairs should members not reach an agreement.

Secretariat Support

Coordination support for the DTPB is provided by CGU including: work planning, issue identification, forward agenda, reporting tools, quality control, meeting coordination, hospitality and agenda management.

Pre-briefs with the chair take place 2 days prior to the meeting.

Meeting Material and Presentation

Both official languages must be used in meeting material (preferably a combination of French and English text within one document) and when presenting.

ADMO leads will provide the necessary meeting material to CGU, three days prior to the scheduled presentation. Lateness of material, will result in a note being added to the agenda. If materials are not submitted within 24 hours of the meeting the item may be pulled and/or the meeting cancelled.

The OneNote binder will only be shared once all materials have been received.

Once the binders are delivered, the books are closed. Only under special circumstances will material be retrieved or table dropped.

Presentations are to be no longer than 10 minutes to leave time for discussion.

Evaluation

The Terms of Reference will be reviewed on an annual basis.

A-2021-54784-000170

Immigration, Refugees and Citizenship Canada | Immigration, Réfugiés et Citoyenneté Canada
Information disclosed under the Access to Information Act
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TERMS OF REFERENCE
TRANSFORMATION COMMITTEE

MANDATE

The Transformation committee (TransCom) serves as a decision-making forum with key players to focus on IRCC's broad transformation agenda. The committee is chaired at the Deputy Minister's level and provides a departmental-wide leadership towards achieving IRCC's service transformation vision, objectives and outcomes. It approves key strategic decisions regarding the department's transformation agenda, ensures alignment across various transformation initiatives and alignment with the department's overall strategic direction.

RESPONSIBILITIES

- Approves IRCC's transformation agenda and sets its strategic direction and intended outcomes;
- Approves transformation related investment decisions and investment plans;
- Monitor's the progress of the overall transformation agenda and select (or major) initiatives;
- Reviews overall risks associated with the transformation agenda;
- Reviews the overall health of transformation agenda the cumulative impact of change on the organization;
- Providing guidance and direction to service transformation initiatives including risk mitigation strategies;
- Setting and demonstrating the behaviours necessary to support change; and
- Providing senior-level commitment and support for proposed changes and championing the delivery and transitioning of new capabilities into operations.

FREQUENCY OF MEETINGS

TransCom will meet monthly; meetings will generally be held for a duration of one hour with the possibility of extension as required by the agenda. Ad hoc meetings will be scheduled as needed.

ADMINISTRATION

Membership

Chair
Deputy Minister

Vice Chair
Associate Deputy Ministers

Members
Assistant Deputy Minister, Transformation and Digital Solutions / Chief Information Officer (CIO)
Senior Assistant Deputy Minister, Strategic and Program Policy
Senior Assistant Deputy Minister, Operations
Assistant Deputy Minister, Modernization
Assistant Deputy Minister, Corporate Services
Assistant Deputy Minister, Finance, Security and Administration / Chief Financial Officer (CFO)
Assistant Deputy Minister, Settlement and Integration
Assistant Deputy Minister, Vaccine Credentials
Assistant Deputy Minister, Strategic and Program Policy
Assistant Deputy Minister, Operations

A-2021-54784-000171

Immigration, Refugees and Citizenship Canada | Immigration, Réfugiés et Citoyenneté Canada
Information disclosed under the Access to Information Act
L'information divulguée en vertu de la loi sur l'accès à l'information

Ex-officio Members
Chief of Staff
Executive Director and Senior General Counsel
Director General, Program Design Authority, Modernization Sector
Director General, Enterprise Projects & Programme Management
Director General, Communications
Director General, Operational Planning and Performance
Director General, Transformation
Director General, Digital Strategy
Director General, Integrated Corporate Business / Chief Privacy Officer
Director General, Internal Audit and Accountability
Director General, Strategic Policy and Planning
Director General, Citizenship and Passport Program
Executive Director, Enterprise Change Management Branch

Observers / Guests
- DMO Senior Advisor
- DMA-Chief of Staff
- All attendance requests must be approved by the DM or DMA.
  - Presenters/observers are to be Director General (DG)-level. Senior Directors/Directors will only be permitted to attend under special circumstances (rationale provided) and must be approved by the DM or DMA.
  - Interdependencies, subject matter experts and/or key analysts may be permitted to observe their item.
  - New executives will be invited to observe a full meeting for developmental opportunities.

Committee Advisor
Corporate Governance Representative

The effective size of a committee has been set at **8-12** members ensuring all sectors are represented. The Deputy Minister will have final approval of any membership changes.

Attendance

For sectors with two ADMs, when one ADM is absent, the other ADM will be the sector representative.

For all other members, when absent, the actor will be permitted to attend on their behalf. No other substitutes will be allowed.

It is expected that use of a designate will be kept to a minimum. Corporate Governance Unit (CGU) will need to be notified three days prior to the meeting.

Ex-officio members will not require a replacement.

In-person meetings

Presenters/observers are to arrive 30 minutes prior to their scheduled presentation and wait outside the boardroom for a representative to invite them in. Observers are not to sit at the table unless asked by the chair. Presenters/observers are asked to leave the boardroom following their item.

Virtual Meetings

When meetings are held through virtual means, the following rules apply:
- All participants may have their video camera on.
- All microphones should be muted unless speaking.

A-2021-54784-000172

Immigration, Refugees and Citizenship Canada | Immigration, Réfugiés et Citoyenneté Canada
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L'information divulguée en vertu de la loi sur l'accès à l'information

- Presenters/observers are not to join the virtual meeting until the receipt of an e-mail by a CGU representative informing them it is time for their scheduled presentation. Presenters/observers will be asked to leave the virtual meeting following their item.

Quorum

A minimum of 50 percent of members (including replacements) must be present to make the decisions valid. Final decision will be made by the co-chairs should members not reach an agreement.

Secretariat Support

Coordination support for the TransCom is provided by CGU including: work planning, issue identification, forward agenda, reporting tools, quality control, meeting coordination, hospitality and agenda management.

Meeting Material and Presentation

Both official languages must be used in meeting material (preferably a combination of French and English text within one document) and when presenting.

ADMO leads will provide the necessary meeting material to CGU three days prior to the scheduled presentation. Lateness of material will result in a note being added to the agenda. If materials are not submitted within 24 hours of the meeting, the item may be pulled and/or the meeting cancelled.

The OneNote binder will only be shared once all materials have been received.

Once the documents have been sent to members, the books are closed. Only under special circumstances will material be retrieved or table dropped.

Presentations are to be no longer than 10 minutes to leave time for discussion.

Evaluation

The Terms of Reference will be reviewed on an annual basis.

A-2021-54784-000173

Immigration, Refugees and Citizenship Canada | Immigration, Réfugiés et Citoyenneté Canada
Information disclosed under the Access to Information Act
L'information divulguée en vertu de la loi sur l'accès à l'information

TERMS OF REFERENCE

DM/DMA TRANSFORMATION TOUCH POINT

MANDATE

DM/DMA Transformation Touch Point is a Deputy Minister chaired meeting that serves as a touch base with key players to ensure the Department is aligned when it comes to the Digital Platform Modernization (DPM). These meetings will serve to provide status updates on key efforts and initiatives within the DPM programme. It is an opportunity to check-in and signal any issues, leaving the Transformation Committee (TransCom) to focus on deeper dives and substantive decision-making.

FREQUENCY OF MEETINGS

DM/DMA Transformation Touch Point will meet monthly; meetings will generally be held for a duration of one hour with the possibility of extension as required by the agenda.

Ad hoc meetings will be scheduled as needed.

ADMINISTRATION

Membership

Chair
Deputy Minister

Vice-chairs
Associate Deputy Minister
Associate Deputy Minister (Federal Lead, Proof of Vaccine Credentials)

Members
Assistant Deputy Minister, Corporate Services / Senior Designated Official (SDO)
Senior Assistant Deputy Minister, Operations
Senior Assistant Deputy Minister, Strategic and Program Policy
Assistant Deputy Minister, Transformation and Digital Solutions / Chief Information Officer (CIO)
Assistant Deputy Minister, Finance, Security and Administration / Chief Financial Officer (CFO)
Assistant Deputy Minister, Modernization
Director General, Ops Sector Lead to Support DPM Phase III
Director General, Digital Strategy
Director General, Transformation Office
Director General, Strategic Policy and Planning
Director General, Enterprise Projects & Programme Management
Director General, Program Design Authority (Modernization)
Director, SPP Sector Lead to Support DPM Phase III

Ex-Officio Members
Director General, Integrated Corporate Business / Chief Privacy Officer
Chief Audit Executive
Chief of Staff

A-2021-54784-000174

Immigration, Refugees and Citizenship Canada | Immigration, Réfugiés et Citoyenneté Canada
Information disclosed under the Access to Information Act
L'information divulguée en vertu de la loi sur l'accès à l'information

Committee Advisor
Corporate Governance Unit Representative

Attendance

When the chair is absent, priority is given to the Vice-chair.

When a member is absent, priority is given to another DG of the respective sector - actors will be the last resort. No other substitutes will be allowed.

Virtual Meetings

When meetings are held through virtual means the following rules apply:

- All participants are encouraged to turn their video camera on.
- All microphones should be muted unless speaking.
- Presenters/observers are asked to join the virtual meeting only when an e-mail from the designated inbox has been received and promptly exit both the meeting and chat after the item has ended.

Quorum

A minimum of 50 percent of members (including replacements) must be present to make the decisions valid. Final decision will be made by the chair should members not reach an agreement.

Secretariat Support

Coordination support for the DM/DMA Transformation Touch Point meeting is provided by CGU including: work planning, issue identification, forward agenda, reporting tools, quality control, meeting coordination, hospitality, and agenda management.

Meeting Material and Presentation

Standing items are to be verbal updates, and where possible, emphasis should be placed on Dashboards, as opposed to formal presentations. Both official languages must be used in meeting material (preferably a combination of French and English text within one document) and when presenting.

Presentations are to be no longer than 10 minutes to leave time for discussion.

Evaluation

The Terms of Reference will be reviewed on a re-occurring basis.

A-2021-54784-000175

Immigration, Refugees and Citizenship Canada | Immigration, Réfugiés et Citoyenneté Canada
Information disclosed under the Access to Information Act
L'information divulguée en vertu de la loi sur l'accès à l'information

ANNEXE G

Draft Terms of Reference - IRCC Digital Transformation Interdepartmental Advisory Committee (ADM-Level)

MANDATE

The Immigration, Refugees and Citizenship Canada (IRCC) Digital Transformation Interdepartmental Advisory Committee (ADM-Level) is an IRCC committee, chaired by the Assistant Deputy Minister, which provides a focal point for continued cross-departmental engagement, information-sharing, knowledge building, and sharing of lessons learned. This committee ensures that Departments critical to the operational alignment and service delivery are well-informed and well-aligned.

As required, the IRCC Digital Transformation Interdepartmental Advisory Committee will provide oversight and advice on the overall direction and progress of the Digital Transformation Programme and the enabling of Transformation projects (e.g. Digital Innovation and Digital Platform Modernization, which includes the Global Case Management System modernization) and ensure alignment with Government of Canada priorities and policies.

AUTHORITY

The Chair of the IRCC Digital Transformation Interdepartmental Advisory Committee has the authority to set the overall strategic direction of the committee, approve committee agendas, and request items to be brought forward at a specified date.

Where required, the Chair may strike sub-committees that would be chaired by committee members but could include others to assist in the delivery of the committee's work plan.

ROLES & RESPONSIBILITIES

To fulfill its mandate, this Committee will:

- **Understand** the implications of the Digital Transformation projects on partners;
- **Contribute** an independent perspective and expertise to Digital Transformation projects;
- **Provide** perspective on scope of the programme and the enabling projects, aligned with the requirements of the Treasury Board Secretariat and the articulated benefits;
- **Provide advice and guidance** concerning the Digital Transformation project procurements, governance, risk management and benefits optimization strategies;
- **Identify and Address** any intergovernmental alignment issues associated with the Digital Transformation projects;
- **Review, evaluate and provide** guidance on proposed changes which impact scope, schedule, cost, risks, quality and benefits of the programme;
- **Ensure** that Independent Third-Party Reviews (ITPR), to be overseen by the Chief Audit Executive, are completed as required throughout all stages of execution. A calendar for ITPRs will be developed as part of the Project Management Plans and work plans for each project within the programme;
- **Brief** departmental colleagues and teams on updates of relevance or critical importance, as necessary; and
- **Support** the IRCC Digital Transformation Interdepartmental Advisory Committee (DMA-Level) in its mandate.

Immigration, Refugees and Citizenship Canada | Immigration, Réfugiés et Citoyenneté Canada
Information disclosed under the Access to Information Act
L'information divulguée en vertu de la loi sur l'accès à l'information

MEMBERSHIP

Chair

Zaina Sovani, Assistant Deputy Minister, Transformation and Digital Solutions Sector (TDSS) and Chief Information Officer, IRCC

Government of Canada Board Members (ADM-Level)

- Chief Executive Officer (CEO), Canadian Digital Service, Treasury Board of Canada Secretariat (TBS)
- Senior Assistant Deputy Minister, Client Service Delivery and Management – Citizen and Business Branch, Shared Services Canada (SSC)
- Senior Assistant Deputy Minister, Project Management and Delivery, Shared Services Canada (SSC)
- Senior Assistant Deputy Minister and Chief Information Officer, Employment and Social Development Canada (ESDC)
- Vice-President and Chief Information Officer, Canada Border Services Agency (CBSA)
- Vice-President and Chief Transformation Officer, Canada Border Services Agency (CBSA)
- Executive Director, Immigration and Refugee Board of Canada (IRB)
- Chief Technology Officer, Chief Information Officer Branch (CIOB) of the Treasury Board of Canada
- Chief Financial Officer and Comptroller, IRCC

Ex-Officio Members (DG-Level)

- Director General, Digital Strategy, IRCC
- Director General, Transformation Office, IRCC

Secretariat:

Director, Transformation Engagement and Sustainability, TDSS, IRCC

Committee Advisor:

Corporate Secretariat, IRCC

COMMITTEE OPERATION

Frequency and Duration

The IRCC Digital Transformation Interdepartmental Advisory Committee will meet every four (4) weeks for a duration of 1-1.5 hours. Ad hoc meetings will be scheduled as required.

Quorum

A minimum of five members are required for a meeting to be recognized as an authorized meeting. If the Chair is not available, the scheduled meeting may be cancelled or rescheduled.
Requests for an acting Chair will be considered.

Proxies

Members of the IRCC Digital Transformation Interdepartmental Advisory Committee can send proxies to meetings. To maintain the integrity of the Committee, **Members are responsible for pre-identifying one (1) proxy.** Members will inform the Secretariat at least two (2) days prior to the date if they intend to send a proxy to a meeting.

Immigration, Refugees and Citizenship Canada | Immigration, Réfugiés et Citoyenneté Canada
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Record of Decision
The Secretariat is responsible for producing and issuing a Record of Discussion (RoD) to Corporate Secretariat within 2-3 business days from the meeting date. The RoD of each meeting will be maintained as an official project artifact by the committee Secretariat.

Secretariat Support
Coordination support for the IRCC Digital Transformation Interdepartmental Advisory Committee is provided by Transformation Engagement and Sustainability, division of the Transformation Branch, including: work planning, issue identification, action item tracking, forward agenda development and reporting tools. Administrative support will be provided by the Transformation Branch for Corporate/Legal record keeping requirements (e.g. Final Materials, Agenda, and Record of Decision).

Meeting Material and Presentation
Both official languages must be used in meeting material (preferably a combination of French and English text within one document) and when presenting.

Leads will provide the necessary meeting material to the Secretariat, three days prior to the scheduled presentation. Lateness of material could result in the agenda item being deferred to the next available meeting.

DRAFT

Immigration, Refugees and Citizenship Canada | Immigration, Réfugiés et Citoyenneté Canada
Information disclosed under the Access to Information Act
L'information divulguée en vertu de la loi sur l'accès à l'information

ANNEX B

Terms of Reference – IRCC Digital Transformation Interdepartmental Advisory Committee (DMA-Level)

MANDATE

The Immigration, Refugees and Citizenship Canada (IRCC) Digital Transformation Interdepartmental Advisory Committee (DMA-Level) is an IRCC committee, chaired by the Associate Deputy Minister, which provides a focal point for continued cross-departmental engagement, information-sharing, knowledge building, and sharing of lessons learned. This committee ensures that Departments critical to the operational alignment and service delivery are well-informed and well-aligned.

As required, the IRCC Digital Transformation Interdepartmental Advisory Committee will provide oversight and advice on the overall direction and progress of the Digital Transformation Programme and the enabling of Transformation projects (e.g. Digital Innovation and Digital Platform Modernization, which includes the Global Case Management System modernization) and ensure alignment with Government of Canada priorities and policies.

AUTHORITY

The Chair of the IRCC Digital Transformation Interdepartmental Advisory Committee has the authority to set the overall strategic direction of the committee, approve committee agendas, and request items to be brought forward at a specified date.

Where required, the Chair may strike sub-committees that would be chaired by committee members but could include others to assist in the delivery of the committee's work plan.

ROLES & RESPONSIBILITIES

To fulfill its mandate, this Committee will:

- **Understand** the implications of the Digital Transformation projects on partners;
- **Contribute** an independent perspective and expertise to Digital Transformation projects;
- **Provide** perspective on scope of the programme and the enabling projects, aligned with the requirements of the Treasury Board Secretariat and the articulated benefits;
- **Provide advice and guidance** concerning the Digital Transformation project procurements, governance, risk management and benefits optimization strategies;
- **Identify and Address** any intergovernmental alignment issues associated with the Digital Transformation projects;
- **Review, evaluate and provide** guidance on proposed changes which impact scope, schedule, cost, risks, quality and benefits of the programme;
- **Ensure** that Independent Third-Party Reviews (ITPR), to be overseen by the Chief Audit Executive, are completed as required throughout all stages of execution. A calendar for ITPRs will be developed as part of the Project Management Plans and work plans for each project within the programme; and

Immigration, Refugees and Citizenship Canada | Immigration, Réfugiés et Citoyenneté Canada
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- **Brief** departmental colleagues and teams on updates of relevance or critical importance, as necessary.

MEMBERSHIP

Chair
Caroline Xavier, Associate Deputy Minister, IRCC

Government of Canada Board Members (DMA-Level)

- Associate Secretary, Treasury Board of Canada Secretariat (TBS)
- Senior Assistant Deputy Minister, Strategy, Shared Services Canada (SSC)
- Chief Transformation Officer, Employment and Social Development Canada (ESDC)
- Chief, Communications Security Establishment, Communications Security Establishment Canada (CSEC)
- Executive Vice-President, Canada Border Services Agency (CBSA)
- Deputy Chairperson, Refugee Protection Division, Immigration and Refugee Board of Canada (IRB)
- Associate Deputy Minister, Public Services and Procurement Canada (PSPC)
- Chief Information Officer, Chief Information Officer Branch (CIOB) of the Treasury Board of Canada
- Chief Administrative Officer, Royal Canadian Mounted Police (RCMP)
- Associate Deputy Minister of Foreign Affairs, Global Affairs Canada (GAC)

Ex-Officio Members (ADM-Level)

- Assistant Deputy Minister, Transformation and Digital Solutions Sector (TDSS) and Chief Information Officer, IRCC

  Note: Chair of the IRCC Digital Transformation Interdepartmental Advisory Committee (ADM-Level).
- Chief Executive Officer (CEO), Canadian Digital Service, Treasury Board of Canada Secretariat (TBS)
- Assistant Secretary, International Affairs, Security and Justice Sector, Treasury Board of Canada Secretariat (TBS)
- Chief Audit Executive, Internal Audit and Accountability, IRCC

Secretariat:
Director, Transformation Engagement and Sustainability, Transformation and Digital Solutions Sector (TDSS), IRCC

Committee Advisor:
Corporate Secretariat, IRCC

COMMITTEE OPERATION

Frequency and Duration
The IRCC Digital Transformation Interdepartmental Advisory Committee will meet every six (6)

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weeks for a duration of 1-1.5 hours. Ad hoc meetings will be scheduled as required.

Quorum
A minimum of five members are required for a meeting to be recognized as an authorized meeting. If the Chair is not available, the scheduled meeting may be cancelled or rescheduled. Requests for an acting Chair will be considered.

Proxies
Members of the IRCC Digital Transformation Interdepartmental Advisory Committee can send proxies to meetings. To maintain the integrity of the Committee, **Members are responsible for pre-identifying one (1) proxy.** Members will inform the Secretariat at least two (2) days prior to the date if they intend to send a proxy to a meeting.

Record of Decision
The Secretariat is responsible for producing and issuing a Record of Discussion (RoD) to Corporate Secretariat within 2-3 business days from the meeting date. The RoD of each meeting will be maintained as an official project artifact by the committee Secretariat.

Secretariat Support
Coordination support for the IRCC Digital Transformation Interdepartmental Advisory Committee is provided by Transformation Engagement and Sustainability, division of the Transformation Branch, including: work planning, issue identification, action item tracking, forward agenda development and reporting tools. Administrative support will be provided by the Transformation Branch for Corporate/Legal record keeping requirements (e.g. Final Materials, Agenda, and Record of Decision).

Meeting Material and Presentation
Both official languages must be used in meeting material (preferably a combination of French and English text within one document) and when presenting.

Leads will provide the necessary meeting material to the Secretariat, three days prior to the scheduled presentation. Lateness of material could result in the agenda item being deferred to the next available meeting.

Pages 182 to / à 382

are withheld pursuant to section

sont retenues en vertu de l'article

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Onboarding Reading List

The below is designed to help new Phase 3 employees ramp up on the initiative. It is meant to be a living document to be updated regularly.

Document Name	Description	Key Contact	GCDoc link
Definition Phase Assumptions	Definition phase assumptions (activities/deliverables/work streams) that support costing	Chris Smith	https://gcdocs2.ci.gc.ca/otcs/cs.exe?func=ll&objaction=overview&objid=403504495
Procurement Strategy	Overview of the procurement approach for the Programme – methodology, phases, activities.	Alan Manara	https://gcdocs2.ci.gc.ca/otcs/cs.exe?func=ll&objaction=overview&objid=415664967
Industry Engagement Plan	Detailed plan for the industry engagement phase of the procurement process. Details on the assumptions, steps, artifacts, timing and logistics provided.	Alan Manara	https://gcdocs2.ci.gc.ca/otcs/cs.exe?func=ll&objaction=overview&objid=406795184
Deliverable Register	High Level list of Deliverables broken down by team	Darrell Perala	https://gcdocs2.ci.gc.ca/otcs/cs.exe/link/406309727
Risk/Issues/Actions/Decisions	Programme document to track and manage risks/issues as well as a repository for team actions/decisions	Darrell Perala	https://gcdocs2.ci.gc.ca/otcs/cs.exe/link/404004833
Programme Reporting	Programme reporting location that feeds many different reports and meeting at IRCC	Darrell Perala	https://gcdocs2.ci.gc.ca/ocs/cs.exe?func=ll&objId=403688295&objAction=browse&viewType=1 (Folder contains multiple subfolders and 36 docs)
DPM Readiness Assessment Executive Summary	A 2-slide PPT highlighting the key findings and recommendations of the DPM Readiness Assessment.	David Lorber	https://gcdocs2.ci.gc.ca/otcs/cs.exe/link/407082393
DPM Readiness Assessment (full version of above)	Assessment of DPM3's readiness to proceed as a programme, focusing on	David Lorber	https://gcdocs2.ci.gc.ca/otcs/cs.exe/link/405211121

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	key capabilities required to deliver the programme, including key recommendations.		
Phoenix Lessons Learned	Documentation of lessons learned from the Phoenix project (based on both Goss Gilroy report and other sources of information), how they apply to DPM3, and identification of gaps that DPM3 should address.	David Lorber	https://gcdocs2.ci.gc.ca/otcs/cs.exe/link/408611463
Proposed oversight & assurance model (WIP)	Oversight and Assurance Model being developed in collaboration with other stakeholders – primarily IAAB. Intended to be leverageable by Transformation, DPM1&2, and other IRCC initiatives as needed.	David Lorber	https://gcdocs2.ci.gc.ca/otcs/cs.exe/link/409171497 (folder contains 12 docs/items)
IRCC DPM Programme DM Core Endorsement of Milestone Deck	Draft milestones (in preparation for presentation with DMCore)	Claire Lake	https://gcdocs2.ci.gc.ca/otcs/cs.exe/Overview/419059424
DMCore Placemat Phase DPM Phase 3 Definition Only	Placemat for presentation at next DMCore	Claire Lake	https://gcdocs2.ci.gc.ca/otcs/cs.exe/Overview/420572222
IRCC – Overview of the DPM Program	Overview, benefits, and proposed next steps for DPM	McKinsey	https://gcdocs2.ci.gc.ca/otcs/cs.exe?func=ll&objaction=overview&objid=402654645
Journey Labs Overview DPM Phase 3	Overview of DJL's strategy for Phase 3	Connie Latauro / Alastair Hare within DPM 3	http://gcdocs2/otcs/cs.exe/Overview/405761602 (no access to link)

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Digital Platform Modernization

DPM Phase 3 – TDSS Readiness Assessment

David Lorber
Sr. Advisor, Digital Strategy

April 22, 2021

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Digital Platform Modernization

DPM Phase 3 Readiness Assessment

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DMP Phase 3 Readiness Assessment – Approach Overview and Context

- The DPM readiness assessment framework provides a comprehensive and robust framework for assessing the readiness of the DPM programme.
  - There are a few variations in the Categories assessed for the DPM programme (or individual projects) vs. the department.
  - The detailed descriptions of each category are provided in Appendix C: Assessment Framework & Methodology Overview.
- Each category is assessed for readiness based on the current state of the programme as of April 8, 2021, using the readiness scale below.

Rating	Description of Programme / Project Readiness
High	Capability is in place to the extent expected / reasonable for the current state of the DPM programme. Normal planning and preparation activities should result in timely readiness when the programme moves from the planning stage to execution.
Medium	Capability is not fully in place to execute activities related to the specific assessment category as per the needs of the DPM programme, but the capability can be put in place with moderate effort and cost, in time for the programme to move from the planning stage to execution.
Low	Capability is not fully in place to execute activities related to the specific assessment category as per the needs of the DPM programme. Putting the capabilities in place in time to move from the planning phase to execution will require substantial effort and cost, and may require a delay in the programme OR increasing / maturing the capability is essential to the success of the programme.

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L58

DMP Phase 3 Readiness Assessment – Approach Overview and Context

- The assessment was performed by David Lorber, who is currently employed by IRCC (contract) and has previously conducted more than 50 programme / project risk and readiness assessments.
- The assessment is based on a comparison of planning status and demonstrated execution of each individual assessment category against programme requirements (overall and at the point-in-time of the assessment) and applicable best practices.
- Input to the assessment included review of available DPM programme documentation (including Phase 1 & 2 documentation) and 34 interviews with 43 stakeholders identified in "Appendix A: Interview Participants".
- The results of the assessments do not directly constitute a recommendation to proceed, delay or not proceed with the DPM programme. It identifies areas that require attention to minimize the risk of failure and maximize the benefits of success.

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Slide 5

L58 Add explicit explicit explanation of point-in-time nature of assessment and plan for ongoing assessments, changing risks, etc.
Lorber.David, 4/26/2021

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Assessment Overview

- This readiness assessment for DPM Phase 3 is primarily focused on TDSS, though it is influenced by the capabilities and readiness of IRCC as a whole.
- The assessment is based on data gathered via document reviews, and 34 interviews with 43 participants (see Appendix A: Interview Participants) in February and March of 2021.
- The readiness assessment was performed after DPM Phases 1&2 began ramping up, but an estimated 6+ months before Phase 3 begins ramping up – early enough to implement recommendations and improve readiness for programme execution.
- At this stage of a programme's lifecycle, it is expected that there will be a distribution of high, medium and low readiness across different assessment categories.

Domain	Category	
1. Strategy & Leadership	1.1 Executive Support	Low
	1.2 Vision, Goals & Objectives	High
	1.3 Business Case & Benefits Management	Med
	1.4 Governance	Low
	1.5 Sourcing Strategy	Low
	1.6 External Dependencies	Med
2. Architecture	2.1 Enterprise Architecture *	N.A.
	2.2 Application Architecture *	N.A.
	2.3 Solution Architecture **	Med
	2.4 Business Architecture	Med
	2.5 Technology Architecture	High
	2.6 Information Architecture	Low
	2.7 Security Architecture	Med
	2.8 Integration Architecture	High
3. Project Delivery	3.1 Scope	Med
	3.2 Schedule	High
	3.3 Budget	Low
	3.4 Resources	Low
	3.5 Risk Management	Med
	3.6 Issue Management **	Med
	3.7 Team Collaboration & Cohesion	High
	3.8 Quality Assurance **	Low

Domain	Category	
4. Solution Development	4.1 Requirements	Med
	4.2 Solution Design **	N.A.
	4.3 Development & Configuration	N.A.
	4.4 Testing	Low
	4.5 Integration / Interfaces	Med
	4.6 Data Conversion **	Low
	4.7 Reporting & Analytics	High
5. Implementation / Deployment	5.1 Infrastructure & Operations	Med
	5.2 Deployment	Med
	5.3 User Support	N.A.
	5.4 Knowledge Transfer	N.A.
	5.5 Operational Support	N.A.
6. Change Management	6.1 Change Management & Stakeholder Perception	Med
	6.2 Communications	High
	6.3 Training	Med
7. Foundational	7.1 Vendor Management	Med
	7.2 Security	Med
	7.3 Methodology & Tools	Med
	7.4 Compliance	Med

* Not applicable to programme / project readiness or risk assessments.
** Not applicable to departmental readiness assessments
Descriptions of each assessment category are provided in Appendix D.

- Key points explaining the above assessment are provided in the following slides.
- Finding and assessment details for each assessment category are provided in **Appendix B**, along with detailed recommendations.
- A description of each assessment category is provided in **Appendix D**.

DPM Phase 3 is at a reasonable state of readiness for a programme in its very early stages. Assessment categories are a mix of high, medium and low states of readiness.

There are no major indicators that the programme should be stopped or delayed. However, some actions should be taken in relation to most of the assessment categories to continue improving readiness prior to major increases in programme activities, and a few of the assessment categories have issues that IRCC should begin to remediate immediately.

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Capabilities and Strengths to Leverage

TDSS and IRCC have a number of capabilities and strengths that Phase 3 of the DPM programme should leverage. Doing so will reduce programme risk and increase the likelihood and degree of overall programme success.

1. While executive support is for Phase 3 is not yet structured optimally, there is strong executive support at the highest levels of IRCC. This executive support should be leveraged to help address many of the gaps identified in this readiness assessment as well as provide strong guidance and overall support.

   Note: This executive support appears to extend to the senior management level and should be leveraged to encourage and enable collaboration and support of DPM Phase 3 by IRCC as a whole.

2. IRCC has a number of change management capabilities – including communications and training – that have varying levels of maturity, but which are to some extent established and growing. Phase 3 of DPM has the opportunity to leverage these capabilities to both enable programme success and manage and mitigate risk.

3. The JourneyLabs and DPM Phases 1&2 are establishing growing key capabilities (e.g. Agile development; solution / framework deployment; legacy modernization and replacement), building knowledge (e.g. defining journeys; identifying and documenting business requirements), and developing enterprise and solution architecture components (e.g. integration framework; cloud solution delivery).

4. Extensive reporting and analytics capabilities are in place, particularly the ongoing migration of data from transactional systems to IRCC's data warehouse. These capabilities (knowledge, resources, etc.) should be strongly leveraged by DPM Phase 3 to support / enable the data and information needs of the programme.

   Note: Data migration and integration / interfaces are a common challenge for programmes involving complex technical environments, replacement of legacy applications, and requiring multiple years to implement in phases. IRCC has the ability to proactively address these high risk programme needs and significantly reduce the risk to DPM Phase 3 (and to IRCC as a whole).

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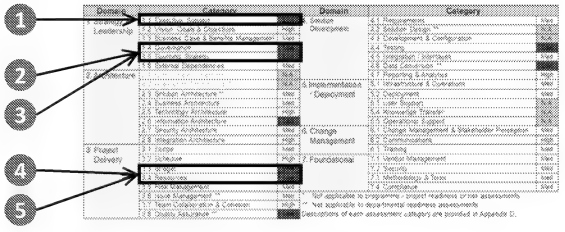
Highest Priority Readiness Findings and Assessment

While DPM Phase 3 is in a reasonable state of readiness for this point-in-time in the programme lifecycle, there are a few areas that will result in a substantial risk if they are not remediated.

Additional details are provided in Appendix B: Detailed Findings and Recommendations.



1 **Executive Support** – is generally strong, but the lack of a business executive sponsor poses a very significant risk to overall programme success. Best practice would dictate that a programme of DPM Phase 3's scope, complexity and risk should be actively led by an executive at least at the ADM level.

2 **Governance** – has three issues that need to be addressed:

- Governance is cumbersome and slow. As it is currently structured, it requires excessive commitment of resources, and will result in slow and poor decisions, and ineffective and late issue resolution and risk mitigation.
- GC governance focuses on 1) decision making; 2) assurance; and 3) advice, oversight & partnerships. This diffuses the focus on decision making, which should be the primary focus of programme governance.
- Governance is predominantly focused on risk mitigation and avoidance. A rapid, Agile implementation of a major transformation initiative, requires an equal focus on programme enablement.

3 **Sourcing** – is much slower than the programme needs. The current timeframe for selection and procurement of managed services is likely to prevent the timely support the government's policies and plans to use immigration to support COVID recovery. Sourcing / procurement of applications, tools and SaaS services is likely to create additional hurdles for the programme if processes are not accelerated or proactively managed.

4 **Budget** – current internal controls at IRCC will cause extensive programme delays and will prevent the effective execution of programme activities. In addition, the fundamental funding model does not support an Agile approach for a large programme – as exemplified by preparation for Phase 3 needing to start before any budget has been approved and provided.

5 **Resources** – are currently difficult and slow to obtain and on-board. This applies specifically to resources with modern skills that are most critical to DPM, IRCC and the Government of Canada. A programme the size, scope and duration of DPM Phase 3 will have substantial resource turnover and needs a dynamic process for managing resources.

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Key Recommendations to Improve Programme Readiness (1 of 4)

Key recommendations are focused around each assessment domain. These address, but are not limited to, the Key Findings and Assessment summarized above.

Additional details are provided in Appendix B: Detailed Findings and Recommendations.

Details regarding the implementation of the Readiness Assessment recommendations is documented, tracked and managed in a separate document.

- Establish a **TB Submission** team and complete the TB submission process. This is a prerequisite to implementing a number of the other readiness recommendations as well as proceeding with Phase 3 of DPM.

1. Strategy & Leadership

- Formally obtain business-side **Executive Support** at the ADM level (or higher) and develop plans for assigning 2 DGs focused on Phase 3. Build broad executive support across IRCC leadership at the Director level and above.
- Take a two-pronged approach to streamlining **Governance** so that it will support a large transformation initiative. The key objective is to <u>enable efficient and effective decision making</u> – differentiated from consultation, controls, reporting, oversight, etc.
  1. **Optimize internally controlled decision making** (i.e. within IRCC) by aligning decision making authority and accountability. Leverage executive support to change processes as needed and separate decision making from consultation, controls, etc.
  2. **Manage externally controlled decision making** (e.g. by central departments) by establishing a Governance Management function (and assigning a resource) for Phase 3 to manage and facilitate governance processes and relieve the burden on senior executives.
- Complete the development of the Phase 3 **Sourcing** Strategy, and begin implementing Phase 3 sourcing as an official project – develop key project management artifacts, implement key project activities, and assign resources and budget. Continue with plan to obtain professional service support for the selection / procurement process.

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Key Recommendations to Improve Programme Readiness (2 of 4)

2. Architecture

- Assign a Business Architect to the Phase 3 planning process and begin identifying and developing key **Business Architecture** artifacts required for Phase 3 – including business process analysis and documentation; and mapping of business capabilities to business processes, applications to business processes and capabilities, etc.
- See Security recommendation related to domain 7 (Foundational).

3. Project Delivery

- Develop and implement a **Funding and Budget Management Model** for DPM that enables the delegation of spending authority to the programme / project leaders with the corresponding accountability.
  - For external approvals from TB, modify the existing model so that programme authorities can spend their budget based on needs, not based on previous milestones, predecessor projects and phases, or rigorously defined criteria. (i.e. use a financial model that supports business agility and aligned to Agile development).
  - For internal approvals, modify IRCC processes to provide post-spending review and audit services, but <u>not</u> have a role in pre-spending approval or decision-making. If necessary, obtain dedicated resources from IRCC Finance to execute financial processes on behalf of DPM such that there are <u>no</u> delays between spending decisions and execution.
- Develop a comprehensive Phase 3 programme **Resource Strategy and Organization Structure**, and begin proactive resource planning and management. Define key resources and resource types, determine how they will be obtained, and develop a conceptual organization structure for the programme (staffing structure, reporting lines for a matrixed organization, timelines, risk identification, etc.). Assign a Resource Manager to develop the resource strategy and manage resourcing activities.

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Key Recommendations to Improve Programme Readiness (3 of 4)

3. Project Delivery (cont'd)

- Implement a **Quality Assurance** framework that will support 1) DPM Phase 3's need for agile delivery and working with service providers; and 2) IRCC's need to ensure ongoing quality of the services provided by the service provider. This will also require coordination with Internal Audit and implementation of an ongoing oversight function focused on solution enablement as much as risk mitigation.
- Develop a Phase 3 programme **Schedule** with varying degrees of granularity using an appropriate tool. Highly granular for the upcoming 3 months; major activities and milestones for 3 – 12 months; and major milestones and workstreams for beyond 1 year. Incorporate Phase 3 programme timeline into Communications Plan and communications to stakeholders.

4. Solution Development

- Define and develop a plan for implementing a **Cohesive Testing Methodology** that takes into account IRCC's primary responsibility for testing and a solution provider's responsibility to support testing.
- Begin preparation for **Data Conversion** by comprehensively assessing data quality and conversion concerns, and incrementally cleansing data.

5. Implementation / Deployment

- Establish a structured **Relationship with SSC** including dedicated points-of-contact and Service Level Agreements. Work through the DM Core Services Committee to establish DPM as a priority for SSC support.

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Key Recommendations to Improve Programme Readiness (4 of 4)

6. Change Management

- Begin a comprehensive Phase 3 **Change Management** initiative to effectively build support, set expectations and ensure change is achieved.
  - Assign a Change Management Lead and begin coordinating change management planning with supporting organizations in IRCC (e.g. ECMB; Corporate Communications; Learning Academy).
  - Perform a comprehensive **stakeholder analysis** and document key attributes for each stakeholder group including level of involvement and impact on Phase 3, change readiness, primary benefits, challenges and risks, and key messages.
  - Develop the core set of **change management, communications and training strategies**. These will be living documents, but the strategies are essential to establish earlier rather than later for a large transformation programme (i.e. DPM Phase 3).

7. Foundational

- Assign a Security Lead and develop a programme **Security Model** including clear security architecture, compliance requirements, processes and stakeholders. Begin collaboration with IT Security; Corporate Security, CSO and other government departments.

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Digital Platform Modernization

Appendix A: Interview Participants

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Readiness Assessment Interview Participants

- 34 interviews (excluding follow-up discussions) were conducted with a total of 43 participants listed in the table below.

Digital Program Modernization	
SOVANI, Zaina	CIO and Chief Transformation Officer (TDSS)
SUBHANI, Omar	DG Digital Strategy
BADAMI, Rahul	Director, Programme Office Lead
BAZINET, Claude	Manager, Digital Strategy
GALLO, Candice	A/Director, DPM – Technical Debt Reduction
LAROUCHE, Yanick	A/Director, DPM – Cloud Strategy
MAIMONE, Domenico	Special Advisor, Digital Strategy
MCCARTHY, Kyrra	Consultant, DPM Communications Lead
MORAN, Glenn	Director, Enterprise Architecture,
PASCAL, Ryan	A/Director, Office of the CIO
VIOLETTE-FEHR, Nancy	Executive Director, DPM
Transformation	
BISHOP, Ralph	DG Transformation Office
BHARGAV, Arpan	Functional Lead, JourneyLab
DAVIS, Ken	Lead Architect, JourneyLab
IATAURO, Connie	Director, JourneyLab
KUNSKEN, Derek	Director, Transformation, Engagement and Sustainability (TES)

Transformation	
BISHOP, Ralph	DG Transformation Office
IATAURO, Connie	Director, Journey Lab
KUNSKEN, Derek	Director, Transformation, Engagement and Sustainability (TES)
IT Operations	
LORELLO, Rina	DG IT Operations
TESSIER, Jean-Bernard	Executive Director, IT Operations
Outside of IRCC	
ALFIERI, Michelle	Gartner, Managing Partner, IRCC Account Lead
GADIA, Anant	Accenture, Managing Director
TIMMINS, Brendan	Accenture, Managing Director

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Readiness Assessment Interview Participants

Outside of TDSS (Internal to IRCC)	
BAPTISTE, Marie-Flore	DG, Enterprise Project and Programme Management (EPPM)
CARDINAL, Simon	Chief Privacy Officer and DG, Integrated Corporate Business (ICB)
FOBES, Caroline	DG, Executive Director and Senior General Counsel
KIZILTAN, Umit	Chief Data Officer
LAURSEN, Diane	DG Communications
MINATEL, Sandra	DG, Chief Security Officer (CSO)
RUBENSTEIN, Martin	DG, Chief Audit Executive (CAE)

Outside of TDSS (Internal to IRCC)	
CHU, Vivian	Director, Professional Practices and Strategic Management
FLEURANT, Sebastien	Director, Data Governance and Partners
FU, Danika	Internal Audit Project Leader
GREER, Jon	Director, e-Communications
ILEA, Ryan	Director, Reporting Analytics Lead
LAFLAMME, Patrick	A/Senior Director, Citizenship and Passport
MANN, Michelle	Legal Services, General Counsel (IRCC)
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Digital Platform Modernization

Appendix B: Detailed Findings & Recommendations

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1. Strategy & Leadership
1.1 Executive Support

Category Readiness: Low

Findings	

• The DPM programme has strong executive support:
  • IRCC's CIO / Chief Transformation Officer (ADM level position) is the Executive Sponsor of the DPM programme.
  • The programme is being led by a Director General with both transformation and Government of Canada experience.
  • The programme's Transformation Committee includes many of the members of IRCC's Executive Committee.
• Executive level support has been demonstrated through:
  • Regular interactions between the Programme Lead and the Programme Sponsor and Transformation Committee.
  • Establishment of the DM Core Services Committee and participation of the respective DMs.
	• The programme **does not currently have a business executive sponsor**, which is an essential requirement for business transformation.
	• DPM is one of the three largest, highest profile projects being implemented by GC (demonstrated by it being supported by the DM Core Services Committee). Programme leadership by a DG on a part-time basis is insufficient to drive the programme successfully.
	• Additional indicators of executive support include:
	  • Obtaining $130M funding approval for Phases 1&2.
	  • Obtaining spending approval of $60M of the Phase 1&2 funding.
	  • Executing a new consultant contracting vehicle with higher rates than previous contracting vehicles.
	• DPM in general, and Phase 3 in particular, is not yet broadly understood across IRCC. There is significant interest in it, but it is unlikely that there is substantial commitment to the programme across IRCC leadership.

Recommendations	
• Obtain a business executive sponsor <u>at least</u> at the ADM level. • Structure executive sponsorship to have a full-time ADM (or equivalent) providing executive support by the time Phase 3 ramps up to full-scale delivery.	• Commit at least 2 DGs to the programme on a full-time basis. • Incorporate executive support development into the Phase 3 Change Management Strategy and Communications Strategy (see recommendations for assessment categories 6.1 and 6.2 respectively).

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1. Strategy & Leadership
1.2 Vision, Goals & Objectives

Category Readiness: **High**

Findings	

• The DPM programme has a clear, and clearly documented, vision and goals (labelled as business objectives).
• Qualitative DPM programme objectives have been documented at a high level.
  • McKinsey has been engaged to refine documentation of DPM programme objectives.
  • The current plan is to refine definition of DPM programme objectives
N/R
• Understanding of the distinction / relationship between DPM and the broader Transformation programme (DPM being described as one of the five levers of the Transformation programme) is limited to a small group, generally composed of the senior leadership of IRCC and the Transformation and DPM programmes.
	• There are only limited definitions of "digital" or "transformation" (e.g. the Business Case refers to "digital transformation" and IRCC becoming a "digital Department"), which is important for communicating the vision and goals to a broader audience.
	• Phase 3 of the DPM programme will impact – and require the involvement and active support of – almost everyone in IRCC. The understanding of the DPM vision, goals and objectives currently appears limited to the programme team, with a strong understanding of the vision, goals and objectives limited to a relatively small core team.

Recommendations	

• Clarify and clearly document the DPM vision and goals in the DPM Communications Strategy (see recommendations for assessment category 6.2 – Communications).
  • Clearly articulate the distinction between:
  • Phase 3 and Phases 1&2.
  • The DPM programme and the Transformation programme.
• Highlight benefits to specific stakeholder groups.
	• Incorporate vision, goal and objective messaging into the early programme communications to broader IRCC audiences.
	• Note: Define programme objectives in a way that enables multiple projects, defined and executed over a period of time, to all contribute to achieving the objectives. (i.e. There are some limits to the specificity that can be define for transformation programme objectives early in the programme lifecycle.)

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1. Strategy & Leadership
1.3 Business Case & Benefits Management (1 of 2)

Category Readiness: **Medium**

Findings	

• There is a documented Benefits Management Strategy for Phase 3 of DPM.
  • Specifies the identification of Benefit Owners.
  • Includes a general structure for mapping Outcomes to KPI Categories, Objectives, and Drivers.
  • Discusses the requirement for a Benefit Realization Plan, Indicator Control Sheets and Standard Operating Procedures for each project.
• High level, qualitative benefits have been documented.
  • Qualitative benefits are aligned to key stakeholder groups, but not quantified.
  • Some quantitative data is provided, but not a direct correlation to benefits of the DPM programme.
• McKinsey has been engaged to develop more detailed and qualitative benefits for Phase 3.
• [illegible]
	• Incremental deployments and many smaller / shorter projects will enable earlier achievement of benefits and the ability to track benefit achievement earlier, than a single large deployment. This approach is consistent with modern best practices.
	• Some programme level benefit metrics (KPIs) are in place for Phases 1&2. However, some KPIs are not viable indicators of improvement (e.g. Increased detection of fraud and error does not describe a means to determine total instances vs. detected instances).
	• Some projects are developing project specific KPIs (e.g. Cloud Adoption).
	  • Some of the KPIs translate to benefits, but are not clearly identified as such.
	  • Measurement mechanics are not specified (who will measure the KPIs; when they will be measured; how they will be measured; determination of current baseline; etc.).
	• There is no enterprise function responsible for benefit management. This is a substantial risk at an individual project level, but is manageable relatively easily for a programme.

N/R

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1. Strategy & Leadership
1.3 Business Case & Benefits Management (2 of 2)

Category Readiness: **Medium**

Recommendations	

• Update the Benefits Management Strategy with guidelines on who will be measuring benefits, and the process for a business owner to sign-off on the benefits as part of the project charter or plan.
  • Clarify the roles related to benefit achievement and measurement.
  • Ensure that appropriate business sponsors / owners are accountable for achieving benefits.
• Develop the Benefits Register template.
  • Incorporate specification of benefits in project planning – benefits should be attributable to individual projects where possible. This should include the data that would be included in projects' Indicator Control Sheets.
	• Develop a Benefit Realization Plan (BRP) for Phase 3 that will apply to all projects.
	  • Individual projects may define specific exceptions to the BRP if there is demonstrated need.
	  • Individual projects will define their specific timing, resources, etc. for executing the BRP in their individual Benefit Registers.
	  • Incorporate Standard Operating Procedures for benefit measurement in the BRP.
	• Plan to implement a programme level function for benefit management.

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1. Strategy & Leadership
1.4 Governance (1 of 2)

Category Readiness: Low

Findings	

• A governance model is currently in place for Phases 1&2, with a clearly documented intent to revisit and revise the governance model periodically throughout Phase 3.
• GC governance addresses 1) decision making; 2) assurance; and 3) advice, oversight & partnerships. This diffuses the required focus on decision making.
• There are two domains of governance:
  • "Internal" governance – decision making processes within the control of IRCC. The DPM governance framework is relatively "tall" with many layers.
  • "External" governance – decision making, assurance, and advice / oversight / partnership outside the control of IRCC (e.g. involving TB; GC EARB; DM Core Services Committee).
• DPM governance (both internal and external) is understood by senior programme leaders, but is not clearly documented (e.g. a comprehensive RACI; process model).
• Culture at IRCC (and GC in general) is one of 1) collaboration and extensive consensus building; 2) risk aversion; and 3) extensive preparedness and avoidance of discussions that people are not fully prepared for. This results in the actual decision-making processes being driven by interactions outside the formal governance processes, and formal decision-making meetings becoming "rubber stamps".
	• Governance is currently described as cumbersome and slow. Extensive time and effort is spent on reporting to various committees for communication, input and approval.
	  • This will have severe negative impacts on the programme if not remediated.
	  • e.g. Effort to use programme funds already released by TB require addition and substantial IRCC Finance approval; there are two levels of architecture review board; TransCom, ExCom and FinCom require three separate submissions, reviews and approvals from substantially the same people.
	• There are fundamental misalignments of accountability and authority. For example:
	  • DG Digital Strategy is accountable for building the programme team and leading programme delivery, but does not have authority to make staffing decisions.
	  • TB has authority to release funding and IRCC TransCom is accountable for spending, but funds cannot be used without IRCC Finance approval and extensive and slow processes.

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1. Strategy & Leadership
1.4 Governance (2 of 2)

Category Readiness: Low

Recommendations	

• Clarify and communicate that the primary purpose of governance is correct, effective and efficient decision making.
  • Begin to explicitly differentiate decision making from consultation, reporting, oversight, etc.
• Redefine the governance structure to align to best practice by making it as flat as possible.
  • Delegate authority downward as much as possible.
  • When decision making authority is delegated, the delegatee should make the decision. Delegated decisions should very rarely be revised / modified by the delegator.
• Develop and document a RACI model for Phase 3.
  • Clearly identify the single decision making authority (i.e. a specific person) for each type of decision and refine the governance processes to obtain decisions from that decision making authority with minimal intervening steps.
  • Explicitly separate decision-making from reporting / informing / consulting.
  • Consolidate governance entities to eliminate duplicate reporting.
  • Make the RACI a "living" document. Initially focus on programme level decisions that need to be made in the short-to-medium term, and gradually expand and evolve the RACI as the programme evolves.
	• Examples of flattening the governance structure, and aligning authority and accountability include:
	  • Provide the Programme Director (currently DG Digital Strategy) with required staffing authority.
	  • Modify IRCC Finance's role to monitoring and recording programme financial activities – they should have no impact on the timeline for spending funds once approval is received from TB and TransCom.
	  • IRCC Finance should assign a single point-of-contact to facilitate monitoring and recording of all programme financial transactions.
	• Establish a Governance Facilitator position who's primary responsibility is to manage and facilitate the processes for all external governance that it is not practical for IRCC to change.
	  • This role should be filled by a Director level associate.
	  • The key objectives are to centralize management of governance activities and reduce the burden on DPM DGs and executive sponsors.
	  • Leverage resources from Integrated Corporate Business branch.
	• Implement governance processes that clearly define the decisions being made, who is accountable, when the decisions must be made, and the process that will be used to make the decision.
	• Begin working with Enterprise Project and Programme Management (EPPM) team to facilitate governance processes related to TB.
	• Begin recording decisions in a programme Decision Log. Set specific timelines and aggressively escalate decisions that are not made AND implemented in their specified timeline.

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1. Strategy & Leadership
1.5 Sourcing Strategy (1 of 2)

Category Readiness: Low

Findings	

• The documented procurement approach is in fact a sourcing approach.
• The Phase 3 business case identifies the need for both a Sourcing Management Strategy and a Procurement Management Strategy.
• Gartner has been engaged to develop a sourcing strategy for the primary service provider for Phase 3.
  • The sourcing strategy is being developed and the overall approach is defined. Major milestones and a basic timeline are defined.
  • IRCC is working with PSPC and DM Core Services Committee in parallel.
• IRCC is at a reasonable position re. sourcing. However, there are many challenges to completing the selection and awarding the contract in a reasonable timeframe. Delays could have a substantial negative impact on IRCC's ability to support COVID recovery and achieve its departmental objectives.
• IRCC's Administration, Security and Accommodation branch supports sourcing and procurement, and is currently engaged with DPM.
  • There is not yet a comprehensive list of procurements that will be required for Phase 3 in addition to the primary service provider. This is expected and reasonable at this stage of a large transformation programme.
• The recommended SMART managed service model for Phase 3 appears reasonable.
  • Reviewing other GC sourcing / procurement initiatives and learning from them is a very good approach.
  • Assessing multiple options indicates reasonable due diligence in determining the sourcing strategy.
	• The sourcing approach creates three notable risks that need to be mitigated:
	  • Scope and budget management as transformative solutions are difficult to define clearly and comprehensively in their early stages (i.e. part of the reason they lend themselves to Agile-like, iterative delivery approaches).
	  • Awarding the entire contract to a single vendor provides that vendor with negotiation strength related to scope changes as the programme progresses.
	  • IRCC does not have experience sourcing and procuring a managed service contract of the scope and complexity as DPM. In addition, GC / PSPC has some, but limited, experience with this type of sourcing / procurement / contracting.
	• There is a requirement for IRCC staff to lead and manage the sourcing / procurement process (whether or not PSPC formally leads the process). There are consultants identified that may be engaged to support the selection and procurement process.
	• There is not yet a clear description of the scope of the procurement for Phase 3, or clear guidance for how scope will be determined (beyond being part of the Phase 3 Definition process).
	  • e.g. How will the planned managed service procurement (scheduled to take more than a year) be reconciled with the Journey Labs being planned for internal implementation?
	
	Findings continued on following slide.

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1. Strategy & Leadership
1.5 Sourcing Strategy (2 of 2)

Category Readiness: Low

Findings (cont'd)	

• The timeline for the procurement process is not yet clear. The DPM programme's preliminary schedule of 17 months to contract award is considered aggressive.
  • The proposed schedule does not include contingency.
  • PSPC may require additional steps or time.
  • Accelerating selection and procurement may be constrained by legal / trade agreements.
	• Sourcing strategy does not currently address selection and procurement of minor tools and services required to implement Phase 3.
	  • Many tools are available to DPM through existing IRCC licenses.
	  • Leveraging additional GC licenses and SaaS services is complicated and slow due to the need to ensure security requirements are met and ensure compatibility with IRCC computer images / configuration (see findings for assessment category 7.3 – Methodology & Tools – for additional findings).
	• Developing a Cloud strategy (including sourcing and operating mode) is part of the programme scope (Phase 2), as is the implementation of that strategy.

Recommendations	

• Continue with plan to obtain professional services with experience sourcing large, complex managed service agreements.
• Document the intended scope of the procurement AND the model / criteria for determining the scope.
• After finalizing the sourcing strategy, develop a more detailed sourcing plan that specifies the details of the approach, activities, resources, etc.
• Implement Phase 3 sourcing as an official project:
  • Develop key project management artifacts (i.e. project charter, plan, schedule, resource plan, stakeholder assessment, etc.).
  • Implement key project activities (i.e. status reporting, risk management, etc.).
  • Assign project resources and budget.
	• Continue engaging Administration, Security and Accommodation branch and IRCC Legal Counsel re. DPM sourcing.
	• Continue to engage the DM Core Services Committee to obtain support from TB and PSPC for an Agile selection and procurement process much faster than typical for GC.
	• Begin working with IT Security and Asset Management and with Administration, Security and Accommodation branch to develop strategies and mechanisms to accelerate selection and procurement of smaller tools and applications (hosted and SaaS).
	  • Develop a more comprehensive list of procurements (than currently available) that will be required for Phase 3.
	• See recommendations re. Scope (assessment category 3.1) and Methodology & Tools (assessment category 7.3).

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1. Strategy & Leadership
1.6 External Dependencies

Category Readiness: **Medium**

Findings	

• Some external dependencies (external initiatives, events or considerations that DPM has very limited influence over, but that could nonetheless impact the DPM programme) are known, but external dependencies have not been formally assessed or documented. Examples include:
  • PPMI project and JETS Decommissioning project (could contend for resources; create deployment conflicts; be "pushed" into DPM scope).
  • Security TDR projects – services to be implemented may be required for some DPM Phase 3 projects.
  • IRCC legislation (may restrict changes needed / recommended for DPM).
  • CBSA's CARM project (could influence CBSA's participation in DPM).
	• There is not currently a cohesive strategy or plan for monitoring and managing external dependencies, nor are there processes or resources in place.
	• Phase 1&2 has a documented interdependency approach and an interdependency tracker, however, the tracker does not yet have any entries.
	• There are a number of IRCC executives capable of identifying programme dependencies and there is adequate time to identify and begin monitoring and managing dependencies.

Recommendations	
• Assign responsibility for dependency identification and management. • Initially incorporate this into the Program Risk Management role. • Systematically identify and assess external dependencies.	• Incorporate dependency monitoring and management into the risk management process.

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2. Architecture
2.3 Solution Architecture

Category Readiness: **Medium**

Findings	

• There is very limited reference architecture for DPM to leverage – the plan is for DPM to develop the reference architecture.
  • While this model / approach provides limited guidance to DPM, it also provides significant flexibility.
• IRCC has very limited solution architecture resources – DPM will likely have to provide Solution Architects itself.
• The programme has architecture (including application architecture) principles (i.e. targets; aligned items; and IRCC responses) that are good starting points, but do not constitute a clear solution architecture.
• It is reasonable that at this early stage of a programme there is not a clearly defined solution architecture.
	• TDSS has an architecture review process in place, but it is still relatively immature and cumbersome.
	  • The architecture review process is in place, but there is not clear guidance on when it is required. Process and participation is highly dependent on individuals' knowledge and relationships.
	  • There are two levels of architecture review (Dir/DG level and DG/ADM level), without a clearly demonstrated benefit for having two levels.
	  • The architecture community has 50+ members and is very active, but there is not a clear RACI model, making the review process slow and the roles of individuals uncertain.
	• While it is best practice to enable a managed service provider to define and manage solution architecture, it is essential that IRCC develop the capability to review, assess, challenge and validate proposed solution architectures and component architectures (and architectural evolution / changes on an ongoing basis).

Recommendations	

• Establish an architecture model for Phase 3 that addresses all major architecture domains and includes:
  • A small number of dedicated architects with strong architecture skills.
  • A larger number of subject matter experts that explicitly spend a portion of their time on architecture activities, guided by the dedicated architects.
	• Engage a Solution Architect in the Phase 3 planning process.
	• During Phase 3 planning:
	  • Clearly define the architecture needs of DPM.
	  • Specify how each architecture component will be developed and aligned to IRCC EA.
	• Explicitly identify Solution Architect needs in the Phase 3 resource plan.

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2. Architecture
2.4 Business Architecture

Category Readiness: **Medium**

Findings	

• See findings for assessment category 2.3 – Solution Architecture – many of which apply to Business Architecture.
• The programme has business architecture principles (i.e. targets; aligned items; and IRCC responses) that are good starting points, but do not constitute a clear business architecture.
• A Business Capability Model (BCM) has been developed that includes both existing and future state capabilities.
• Business capabilities are mapped to technical capabilities identified in a Technical Capabilities Model (TCM).
• IRCC has staff in a variety of roles (e.g. Business Analysts, Functional Analysts, etc.) that act as Business Architects and participate in IRCC's architecture community, architecture reviews, etc. However, there are limited resources available with strong business architecture skills.
	• Leveraging / applying business architecture is still nascent at IRCC:
	  • The BCM has not yet been developed below the second level and is not generally used for managing and defining projects (e.g. mapping business processes and organizations to business capabilities, using the BCM to prioritize projects, etc.).
	  • Other business architecture artifacts do not appear to have been developed and used (e.g. business process inventory and diagrams).
	• Business Architecture is included in GC's BIATS model, which provides some guidance on standards, principles, etc.

Recommendations	

• Engage a Business Architect in the Phase 3 planning process.
• Explicitly identify Business Architect needs (distinct from Business Analysts, Solution Architects, etc.) in the Phase 3 resource plan.
	• As part of Phase 3 planning, determine what additional business architecture artifacts are needed and build a plan to develop them. This may include:
	  • Conduct a preliminary business process analysis as part of Phase 3 planning and map the business processes to business capabilities. Leverage available information from the JourneyLabs.
	  • Map key domains to each other such as organization / business units to business capabilities; business processes to business capabilities; applications to business capabilities and/or business processes; etc.
	• See recommendations for assessment category 2.3 – Solution Architecture.

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2. Architecture
2.5 Technology Architecture

Category Readiness: **High**

Findings	
• See findings for assessment category 2.3 – Solution Architecture – many of which apply to Technology Architecture. • The programme has technology architecture principles (i.e. targets; aligned items; and IRCC responses) that are good starting points, but do not constitute a clear technology architecture. • A Technology Capability Model (TCM) has been developed that includes both existing and future state capabilities. • Technology capabilities are mapped to business capabilities identified in a BCM. • The programme has basic technology architecture principles (i.e. targets; aligned items; and IRCC responses) that are good starting points, but do not constitute a clear technology architecture. • IRCC has technical staff in a variety of roles (e.g. Technical Architects, Developers, Technical Analysts, etc.) that act as Technical Architects and participate in IRCC's architecture community, architecture reviews, etc. However, there are limited resources available with strong technology architecture skills, and limited resources with strong technical skills in general.	• Technology Architecture is included in GC's BIATS model, which provides some guidance on standards, principles, etc. However, the intent is for DPM to develop the future state reference architecture as part of the solution development process (i.e. via procurement and/or development). • It is currently assumed that much of the technology architecture of the new solution will be proposed / defined by the managed service provider, and that they will be instrumental in ensuring that it meets GC requirements. • It is not clear that IRCC has a clearly defined technology architecture that potential Managed Service providers will need to comply with. However, IRCC will be using a Managed Service model that should let the provider(s) define their proposed technology architecture so long at it complies with GC standards.
Recommendations	

• Engage a Technology Architect in the Phase 3 planning process.
• Explicitly identify Technology Architect needs (distinct from Developers, Technology Analysts, etc.) in the Phase 3 resource plan.
	• As part of Phase 3 planning, determine what additional technology architecture artifacts are needed and build a plan to develop or procure them. This may include:
	  • Technology taxonomy and standards
	  • Standard tools
	• See recommendations for assessment category 2.3 – Solution Architecture.

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2. Architecture
2.6 Information Architecture

Category Readiness: Low

Findings	
• See assessment categories 4.6 (Data Conversion) and 4.7 (Reporting & Analytics) for related findings. • The programme has information architecture principles (i.e. targets; aligned items; and IRCC responses) that are good starting points, but do not constitute a clear information architecture. • There is a structure of Data Owners, Data Stewards and Data Custodians in place. However, only the Data Custodian role appears well established and mature. • Implementation of a Master Data Management (MDM) program is in progress, but not yet in place. • Data quality is not well understood and not quantified. It is known that numerous data fields in various applications have been repurposed.	• IRCC has a substantial volume of data, a large portion of which is protected. There are corresponding security risks that the programme will need to address. • There is understanding of the importance of Data Lifecycle Management (DLM) by a few SMEs and stakeholders, but DLM is not formally managed at IRCC. • There is a high level of reliance on individual knowledge of data (i.e. where data is; who can access it; etc.), which poses significant resource risk to the programme due to key resources not being easily replaced or augmented.
Recommendations	
• See recommendations for assessment categories 4.6 (Data Conversion) and 4.7 (Reporting & Analytics).	

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2. Architecture
2.7 Security Architecture

Category Readiness: **Medium**

Findings	
• The programme has security architecture principles (i.e. targets; aligned items; and IRCC responses) that are good starting points, but do not constitute a clear security architecture. • While the CSO, Corporate Security and IT Security collaborate, there is not a single cohesive owner of the security function, which is essential for a large, complex programme.	• GC has strict security requirements in place. However, a significant challenge for Phase 3 will be 1) the ability to demonstrate and validate compliance in a timely manner when new applications and technologies are implemented; and 2) the ability to modify security standards / requirements or obtain exceptions when needed.
Recommendations	

• See recommendations for assessment category 7.2 – Security.	• Document a security architecture for Phase 3. Include:
	  • A clear and comprehensive taxonomy.
	  • Specification of all security requirements that must be complied with and processes that need to be followed.

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2. Architecture
2.8 Integration Architecture

Category Readiness: **High**

Findings	
• See findings for assessment category 2.3 – Solution Architecture – many of which apply to Integration Architecture. • There is an understanding of the importance and complexity of a hybrid integration model. • IRCC does not have any explicit Integration Architects or integration architecture standards in place.	• DPM Phase 1 includes the Hybrid Integration Platform (HIP) project that is intended to have OpenShift deployed in 5 environments (including Production) by May 1, 2021. This should define IRCC's integration architecture and provide the foundation for Phase 3's integration needs.
Recommendations	
• Monitor HIP project – if project encounters problems, assess and develop a response plan for Phase 3 readiness. • Collaborate with HIP leadership team to develop an integration resource plan – ensure that HIP project team develops sufficient resources (including senior integration resources / Integration Architects) to meet future Phase 3 needs.	• Verify that integration architecture is documented to support Phase 3 managed service procurement and implementation. • During Phase 3 planning, clearly define the integration needs of DPM Phase 3.

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3. Project Delivery
3.1 Scope

Category Readiness: **Medium**

Findings	

• Some dimensions of scope are clearly defined (i.e. functional; technology; OGDs) while others appear understood, but are not clearly documented (i.e. geography (and implications); processes; services; interfaces; stakeholders).
  • OGD stakeholders documented with an assessment of their influence on DPM and impact by DPM.
  • Technology platform scope is implied by the Gartner "IRCC GCMS Renewal Benchmarks Work Plan and Cost Review" report, but not made explicit.
  • BCM and TCM imply the business and technology scope, though actual scope is not explicitly stated.
  • Interfaces are in the process of being identified and documented, but scope and requirements related to DPM are not yet being assessed.
	• Opportunity scope is well defined and documented in the Digital Backlog spreadsheet and the Digital Strategy document by Accenture.
	  • Note: Scope is relatively high level, which is expected in the preparation stage of a large programme.
	• There is a documented list of planning deliverables for Phase 3, that include key dates (draft; DG review; ADM review; and completion dates), dependencies, and references to the appropriate WBS activities.
	• There is not yet a clearly defined scope management process.
	  • Scope management for Phases 1&2 is aligned to the programme governance structure and managed by the Project Managers, Sub-Programme Manager (i.e. A/Dir TDR), Exec Dir DPM and DG Transformation.
	• The sourcing approach creates a notable risk related to scope and budget management as transformative solutions are difficult to define clearly and comprehensively in their early stages (i.e. part of the reason they lend themselves to Agile-like, iterative delivery approaches).

Recommendations	

• Define the scope management framework for Phase 3 before issuing the RFP for Phase 3 Definition and Design.
  • The scope management framework should align to the governance framework implemented as per the recommendations for assessment category 1.4 (Governance).
  • The RFP should provide the basic elements of the scope management framework that will be used (i.e. that the potential Managed Service Providers will need to comply / align with).
	• Implement scope management mechanisms in the SI agreement that includes effort scales (i.e. distinct from T&M rates) in order to avoid fee manipulation via scope manipulation and/or that are based on outcomes.
	• Develop project charters and preliminary project plans for the first Phase 3 projects (wave 0, sub-wave 1), including scope details for those projects. Use these as samples to define the minimum expectation for defining scope for the remainder of Phase 3.

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3. Project Delivery
3.2 Schedule

Category Readiness: **High**

Findings	

• There is a high level master schedule of Phase 3 activities in PDF format.
  • The schedule is not maintained in a tool that supports schedule management.
  • IRCC is piloting CA Clarity PPM, but does not otherwise have access to an enterprise schedule management solution that can consolidate and align the schedules of multiple projects, and dynamically track and manage cross-project dependencies.
	• **There are some significant concerns regarding the project schedule, but these are largely associated with other assessment areas – risks to the schedule are more of an effect than a cause.**
	  • Proposed approach to the service provider selection and procurement process would take 14 months. PSPC response was that the selection and procurement could not be done in less than 19 months.
	  • Staffing and budgeting processes are slow and cumbersome. As they are currently performed, they are likely to negatively impact the programme schedule when there is unplanned staff transitions, unexpected spending needs, schedule changes, etc.
	• There is a WBS that describes the first two levels of project activities. Upon preliminary review it appears comprehensive, though still very high level (reasonable for this early stage of Phase 3).
	  • Note: WBS for solution implementation can only be reasonably developed as part of the Definition and Design stage of Phase 3.

Recommendations	
• Obtain an enterprise scheduling tool that will support scheduling across multiple projects. • Break WBS down to third level of granularity and incorporate descriptions of the activities along with key supporting / management data (e.g. estimated level of effort; dependencies).	• See recommendations related to assessment categories 1.4 (Governance), 3.3 (Budget) and 3.4 (Resources). • Develop a Phase 3 project schedule in MS Project that tracks key planning activities (detailed schedule for 3 months; high level schedule for remainder of Definition and Design phase). • As part of Definition and Design, develop a WBS aligned to documented Business Opportunities.

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3. Project Delivery
3.3 Budget (1 of 2)

Category Readiness: Low

Findings	

• The full budget request of $827.4M for Phase 3 has been approved in the FY2021-22 budget.
• Gartner and Accenture each developed programme cost estimates for major segments of the programme which contribute to reliability. However:
  • It is inherently difficult and risky to estimate the budget for a programme as large as DPM Phase 3.
  • Programme scope and solution architecture is not yet well defined – and will be difficult to define until the definition and design phase is completed.
  • The budget is based on many variables and assumptions that are subject to change, and the breakdown is not yet granular with substantiation of the granular components.
  • The GC budgeting model is based on an assumption of being able to clearly define a project's scope before approving it. Large transformation programmes lend themselves to defining objectives, but only defining scope, approach, and other programme parameters loosely in the early stages.
	• Process for using the budget is cumbersome (based on feedback related to Phases 1&2), and could negatively impact resources, schedule, scope and quality as the programme ramps up. This issue relates primarily to internal financial controls that are reported as excessively rigorous and inconsistent with programme and Agile delivery needs.
	• (As per the findings for assessment category 1.4 – Governance) There are fundamental mis-alignments of accountability and authority. For example:
	  • DG Digital Strategy is accountable for building the programme team and leading programme delivery, but does not have authority to make staffing decisions.
	  • TB has authority to release funding and IRCC TransCom is accountable for spending, but funds cannot be used without IRCC Finance approval and extensive and slow processes.

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3. Project Delivery
3.3 Budget (2 of 2)

Category Readiness: Low

Recommendations	

• Work with TB and the DM Core Services Committee to ensure the funding model for Phase 3 is for funding of the overall programme (i.e. not individual projects) with reasonable reporting of spending.
• Implement financial controls, such that:
  • The Programme Sponsor(s) – advised by the DPM Steering Committee – provides approval to release funding for the individual projects or sub-programmes.
  • The Programme Director and Project Managers have the authority to use funds for the project / sub-programme.
  • The Programme Director and Project Managers each have contingency budgets available to them that can be used on their own authority, to avoid unnecessary delays in proceeding with programme activities.
	• Define and establish mechanisms for the programme to control its budget once approved. Work with ExCom and/or TransCom to:
	  • Change IRCC Finance's role from a control mechanism to a review / audit mechanism (i.e. after the fact).
	  • Obtain dedicated resources from IRCC Finance to execute financial processes on behalf of DPM such that there are no delays between spending decisions and execution.
	• Establish a budget review / audit process that is ongoing but non-disruptive as a 3rd party control mechanism. This role could be filled by a combination of:
	  • IRCC Finance
	  • IRCC Audit
	  • Treasury Board
	• See recommendations for assessment category 1.4 (Governance).

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3. Project Delivery
3.4 Resources (1 of 2)

Category Readiness: Low

Findings	

• There is clear documentation of resource sourcing plans for employees vs. contractors.
• There is a documented need for a Resource Management Strategy in the Phase 3 business case.
• There is not yet a programme organizational chart or a Resource Management Strategy or Plan – for Phases 1&2 or for Phase 3.
• There are clearly articulated challenges to obtaining resources. These include:
  • Very limited permanent positions making it much more difficult to attract qualified resources.
  • Slow release of funding for resources making it more difficult to obtain resources in a timely manner.
  • Long and complex processes for hiring.
  • Slow onboarding process – though this may be improving.
  • Resources constraints in corporate HR that sometimes delay the hiring process.
	• There is currently a requirement for all staffing actions (e.g. quarterly resource plan; hiring confirmation) to have ADM approval. These include routine processes and will result in bottlenecks as the programme ramps up.
	• A DPM Programme Resource Manager is being hired (expected in the next month) that will be part of the DPM Phase 1&2 organization – not the Office of the CIO.
	  • They will be responsible for related Finance and HR activities.
	  • Expected to eventually have a team of 2-3 staff.
	  • There is concern that the Resource Manager will not have sufficient resources, experience, institutional knowledge to manage resources.
	• While staff burnout is not yet an issue, it has been expressed that burnout is a concern for the Phase 1&2 team, especially given the long days they put in in order to meet demands.

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3. Project Delivery
3.4 Resources (2 of 2)

Category Readiness: Low

Recommendations	

• Develop a Resource Management Strategy.
  • Include a programme organization structure and staffing model specifically addressing all key functions required for Phase 3.
  • Clarify interactions with / leveraging of other IRCC branches.
• Begin developing a programme level resource plan.
• Define resource requirements in greater detail and develop multiple options for obtaining the required resources.
  • Note: Not all resources for the DPM program can be identified and planned for at this point in time. However, key resources can be identified and planned for, and the resource planning methodology can be applied to new resources and projects on an ongoing basis.
	• Delegate resourcing authority to the Programme Lead (currently DG Digital Strategy) to align with accountability.
	  • Note: Authority delegation should be consistent with the Resource Management Strategy that should be approved by the Programme Executive Sponsor (ADM Transformation and Digital Solutions).
	• In the longer term, assign a dedicated Resource Manager for the overall programme and to support resource management of individual projects.

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3. Project Delivery
3.5 Risk Management

Category Readiness: **Medium**

Findings	

• There is a documented need for a Risk Management Strategy in the Phase 3 business case.
• There is a documented Risk and Issue Management Strategy for Phase 1&2 that can provide the foundation for a Risk and Issue Management Strategy for Phase 3.
• Phase 1&2 risk management is used as an indicator of TDSS's capability for managing risks in Phase 3.
• Phase 1&2 programme risk and issue meetings were held bi-weekly and documented meeting minutes were maintained Feb – Aug 2020. The current approach is to incorporate risk management into the weekly programme status meetings.
• Phase 1&2 status report format has recently been updated, and risks and issues are now featured more prominently.
• Identification and rating of risks is not yet consistent across Phase 1&2 projects (or across TDSS or IRCC as a whole), at least partially due to recent establishment of projects. Programme leaders are working to develop consistency.
	• A Risk Log (i.e. RAID Log) is in use for Phases 1&2. A copy of the RAID Log is in place for Phase 3, though no risks have yet been identified.
	• Phase 1&2 Risk Log content appears current, but relatively light and focused on programme related items (i.e. not individual projects).
	• The Risk Log structure is comprehensive, with the exception of a few gaps:
	  • There is space for a response plan, but no distinction between a mitigation plan and a response plan.
	  • There does not appear to be a mechanism for identifying the project the risk applies to.
	  • There is not a distinct field to reference more detailed risk documentation.

Recommendations	

• Update status options to include "Escalated" and "Being Monitored" (to differentiate from "In Progress").
• Incorporate filters in the spreadsheet tool to facilitate ongoing risk management.
• Update Risk Log fields to include:
  • A Mitigation Plan distinct from a Response Plan.
  • A Project ID in addition to a Risk ID.
  • Additional Documentation.
	• Work with Phase 1&2 leadership and the EPMO to establish standards / consistency for rating and escalating risks.
	  • See recommendation re. status meetings in assessment category 3.7 – Team Collaboration & Cohesion.
	• Implement a more robust risk and issue management tool that can be leveraged by individual projects as well as the overall programme. Consider CA Clarity PPM which is being piloted at IRCC and commercially available SaaS solutions (consult with EPMO re. other available tools that could be leveraged).

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3. Project Delivery
3.6 Issue Management

Category Readiness: **Medium**

Findings	

• See findings for assessment category 3.5 (Risk Management) many of which apply to Issue Management.
• There is a documented need for an Issue Management Strategy in the Phase 3 business case.
• Phase 1&2 issue management is used as an indicator of TDSS's capability for managing issues in Phase 3.
• Identification and rating of issues is not yet consistent across Phase 1&2 projects (or across TDSS or IRCC as a whole), at least partially due to recent establishment of projects. Programme leaders are working to develop consistency.
• TDSS does not have a culture of effectively identifying and escalating issues to obtain effective and timely executive support in their resolution.
	• An Issue Log is in place for Phase 3, though no issues have yet been identified. The Issue Log structure is comprehensive, with a couple exceptions:
	  • There does not appear to be a mechanism for identifying the project the issue relates to.
	  • There is not a distinct field to reference more detailed issue documentation.

Recommendations	

• See recommendations for assessment category 3.5 (Risk Management).
• Update Issue Log fields to include:
  • A Project ID in addition to an Issue ID.
  • Additional Documentation.
	• Work with Phase 1&2 leadership and the EPMO to establish standards / consistency for rating and escalating issues.
	  • See recommendation re. status meetings in assessment category 3.7 – Team Collaboration & Cohesion.

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3. Project Delivery
3.7 Team Collaboration & Cohesion (1 of 2)

Category Readiness: **High**

Findings	

• Based on interview feedback and observations:
  • DPM Phase 1&2 team cohesion is very high. All indications were of a leadership team that is working very well together.
  • Programme collaboration (and related activities) appears effective for Phases 1&2.
  • The above observations appear to also apply to the JourneyLabs, though the assessment obtained less supporting data.
  • The above findings provide an indication that IRCC / TDSS should be able to form teams for DPM Phase 3 that are able to collaborate effectively.
• The most significant challenges observed are:
  1. There are substantial volumes of documentation on GCDocs, but it is not always easy to find a specific document or determine which document will contain specific content being looked for.
  2. There is a high degree of organizational complexity with some notable duplication of functions (sometimes justified) between IRCC, TDSS, Transformation Programme, DPM Phases 1&2, and potentially DPM Phase 3 in the future.
  3. The relationships between different groups performing the same type of function is generally understood, but not documented. This can lead to miscommunication and confusion in Phase 3, which will be much larger and more complex than other initiatives undertaken by IRCC.
• Phase 1&2 has weekly programme leadership team meetings to maintain communication and coordination across teams.
  • Escalated items appear to be featured more prominently than at the beginning of the year.
  • There are a variety of other regularly scheduled meetings that appear to be contributing to programme collaboration and coordination.
	• Phase 1&2 appears to have consistent status reporting in place. However:
	  • Two different status report formats are currently being used for programme workstream and project status reports.
	  • There are not clear ties from status report escalated items to Issue Log, Decision Log or Risk Log items. (Note: project status reports include "Top Dependencies" and "Early Warnings". Not clear how these relate to issues, decisions and risks.)
	  • Status reporting across TDSS and IRCC is inconsistent.
	• Phase 1&2 collaboration and team communication can provide a strong foundation for Phase 3.
	• There is a documented need for an Information Management Strategy in the Phase 3 business case.
	• An Action Items Log and Decisions Log are in place for Phase 3. Decisions have not been documented, but action items correlate to those identified in minutes of weekly team meetings.
	• The Action Items Log structure is comprehensive, with a couple exceptions:
	  • There does not appear to be a mechanism for identifying the project the action items relate to.
	  • There is not a distinct field to reference more detailed action item documentation.
	• The Decisions Log structure is comprehensive, with a couple exceptions:
	  • There does not appear to be a mechanism for identifying the project the decisions relate to.
	  • There is no defined Status for each decision.
	  • There is not a separate field to document the actual decision (it appears that it is intended to be documented in the Description or the Justification fields.
	  • There is not a distinct field to reference more detailed risk documentation.
	• There appears to be a willingness of other branches (Legal; Corporate Communications; etc.) to engage with the DPM team.

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3. Project Delivery
3.7 Team Collaboration & Cohesion (2 of 2)

Category Readiness: **High**

Recommendations	

• Formally document the teams / groups involved in or supporting DPM, and those that can support DPM.
  • For duplicative functions, clearly document the separation of mandates and/or duties.
  • Incorporate collaboration activities into the Phase 3 project plan.
• Document and maintain a calendar of programme collaboration and communication activities (e.g. status meetings; relevant committee meetings; team meetings.
• Implement a process for pushing key information to the DPM team in a controlled manner (i.e. right information to the right people – and to no one else).
• Structure status meetings such that:
  • At most 25% of the time is used to provide updates of activities completed and planned.
  • At least 75% of the time is used to identify the highest priority issues, decision and risks (in that order). Outcomes must be in the form of specific decisions or specific actions (i.e. assigned to named individuals with specific due dates).
	• Incorporate filters in the spreadsheet tool to facilitate ongoing action item management and decision tracking.
	• Update Action Item Log fields to include:
	  • A Project ID in addition to a Risk ID.
	  • Additional Documentation.
	• Update Decision Log fields to include:
	  • A Project ID in addition to a Risk ID.
	  • A Decision field in addition to the Description and Justification.
	  • Status.
	  • Additional Documentation.

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3. Project Delivery
3.8 Quality Assurance

Category Readiness: Low

Findings	
• TBS and EPMO oversight have both been identified as necessary for the DPM programme. Appropriate mechanisms for a programme of DPM's size and complexity have not yet been defined. • Internal Audit is providing oversight for the overall Transformation programme. • There is documented identification of the need for a Quality and Assurance Management Strategy in the Phase 3 business case. The need for Quality Assurance (QA) was also clearly articulated by a number of interview participants. • The preliminary description of the Project Review Strategy (in the Business Case document) is focused on tracking of baseline programme and project metrics, specifically identifying scope, schedule, cost, risks and issues. This is too narrow a focus for QA for a programme the size and complexity of DPM Phase 3.	• At present, there is no QA function in place for DPM. There is also no standing QA function (organization, methodology, etc.) at IRCC that could be leveraged by DPM. • There is not a sufficient focus on QA of programme and project interim or final deliverables, except for those developed in the Journey Labs (for which quality is managed as part of the Agile process). • The DM Core Services Committee appears focused on solution quality as much as risk management. While the DM Core Services Committee is working to support DPM, it does not provide actual oversight or quality assurance.
Recommendations	
• Develop the Quality and Assurance Management Strategy. • Develop a QA template to be leveraged for assuring the quality of all key project deliverables. • Begin using the QA template for Phase 1&2 projects.	• Implement ongoing oversight and periodic risk assessments. • Coordinate with Internal Audit and determine how they can support oversight and quality assurance activities.

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4. Solution Development

4.1 Requirements

Category Readiness: **Medium**

Findings	
• IRCC has documented an opportunity backlog of 165 items. This provides a strong foundation for developing the Phase 3 programme requirements. • Approximately 15 journeys have been identified, but business processes and business requirements have generally not been documented (note: business capabilities have been documented). • IRCC has recently started implementing JourneyLabs, that include requirements development as part of their process. While this capability would need to be scaled for DPM Phase 3, the fundamental capability has been demonstrated.	• IRCC has Business Analysts as well as business subject matter experts that have worked with TDSS project teams. However, there appears to be a limited supply of both. • There is not yet a documented stakeholder analysis that includes a mapping of stakeholders to the domains where they can provide input to requirements or are the final authority for requirements. • Current projects (i.e. DPM Phases 1&2; JourneyLabs) do not appear to include rigorous traceability from requirements to objectives, deliverables and testing.
Recommendations	

• Explicitly incorporate Business Analysts and business subject matter experts into the Phase 3 Resource Plan.
  • Map BA / business SME resources to business capabilities, business processes, Journeys and stakeholder groups to ensure coverage.
	• Begin developing a framework for defining requirements (business; technical; security; etc.) along with sources of information, documentation, etc. to develop the framework into comprehensive requirements (will be required for solution definition and RFP development).
	• Investigate tools for requirements documentation and tracing (i.e. requirements traceability matrix).
	  • Initially investigate tools already licensed and deployed by IRCC, then those already procured and licensed by PSPC.

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4. Solution Development
4.2 Solution Design

Category Readiness: N.A.

Findings	
• Solution design will be led by the Managed Service Providers that respond to, and are selected to participate in, the Phase 3 definition and design process.	• IRCC will be expected to provide IRCC specific expertise and knowledge in a variety of domains, but Solution Design specific readiness is not applicable for the planned approach to procuring Managed Services for DPM Phase 3.
Recommendations	
• None.	

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4. Solution Development
4.3 Development & Configuration

Category Readiness: N.A.

Findings	
• Development and configuration of the new solution will be predominantly the responsibility of the selected Managed Service Provider.	• IRCC will be expected to provide IRCC specific expertise and knowledge in a variety of domains, but Development & Configuration specific readiness is not applicable for the planned approach to procuring Managed Services for DPM Phase 3.
Recommendations	
• None.	

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4. Solution Development
4.4 Testing

Category Readiness: Low

Findings	

• TDSS has a number of testing resources, but:
  • Does not have a consistent testing methodology or standards.
  • Does not have a coordinated testing organization or Centre of Excellence.
• IRCC has licenses for IBM Rational and Azure DevOps (among other tools) for testing.
	• IRCC does not have a culture of rigorous and disciplined solution testing, and the historical technical health of GCMS reflects this (e.g. GCMS generation of thousands of error messages per day; thousands of error / log files; exceptionally high downtime).

Recommendations	

• Obtain / assign a Testing Lead for Phase 3.
• Define and document a broad testing framework and methodology.
  • Plan to leverage available resources and tools.
  • Focus on fundamental approaches for performing testing for different development and implementation models.
	• Develop a roadmap for implementing the testing framework and methodology and begin implementing it.

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4. Solution Development
4.5 Integration / Interfaces

Category Readiness: **Medium**

Findings	

• See assessment category 2.8 (Integration Architecture) for related findings.	• The extent of IRCC's integration needs for DPM Phase 3 are not yet understood.
	  • Analysis of current interfaces is underway (part of DPM Phases 1&2).
	  • This is an essential element of the (current and future) solution to understand for solution design.

Recommendations	

• See recommendations for assessment category 2.8 (Integration Architecture).	• Assess current IRCC interfaces (may be part of HIP project scope). In particular document:
	  • Key characteristics of the current state (e.g. source and destination systems; integration architecture and frameworks; frequency; usage / business processes; key data elements included; etc.).
	  • Gaps between current state, and current and future needs.

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4. Solution Development
4.6 Data Conversion

Category Readiness: Low

Findings	
• It is too early in the programme to have clearly defined understanding of data conversion needs. • A Data Analysis and EDW (Enterprise Data Warehouse) division is in place at IRCC. It uploads an estimated 90% of transactional data into the EDW 12 – 24 hours after entry into transactional systems. This indicates that resources and tools are available that could potentially be leveraged by the DPM Phase 3. • Data quality is not known. Many applications have repurposed data fields that will complicate data cleansing and conversion, as well as application integration.	• There is a structure of Data Owners, Data Stewards and Data Custodians has been in place for 3+ years. However, the role execution of Data Owners and Data Stewards is still nascent – not yet mature enough to provide substantial support to Phase 3. • Master Data Management (MDM) is a discipline that has been identified for IRCC, but documentation and implementation is nascent.
Recommendations	

• Work with Data Analysis and EDW to document the existing scope and complexity of IRCC enterprise data as input to the eventual managed service RFP.
• Continue establishing / maturing roles of Data Owners and Data Stewards.
• Continue implementing MDM.
  • Focus on identifying data domains, data sharing, data flows, data ownership, master vs. subsidiary data, and other key elements that will be required for DPM Phase 3 (i.e. business transformation).
	• Begin initiatives to:
	  • Assess data quality.
	  • Identify and document repurposed data fields (including assessments of quality, quantity, frequency of "alternate" use and other key characteristics, and options / models for migrating data from repurposed data fields).
	  • Identify protected (i.e. personal) data.

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4. Solution Development
4.7 Reporting & Analytics

Category Readiness: **High**

Findings	

• It is too early in the programme to have clearly defined reporting and analytics requirements.
• A Data Analysis and EDW (Enterprise Data Warehouse) division is in place at IRCC, responsible for the data warehouse, reporting and analytics.
  • Data Analysis and EDW operates as a service provider and has sufficient resources to support lower capacity needs, or the ability to procure additional resources if funding is available.
• Two primary reporting tools are currently in place:
  • Answers – for reporting against GCMS (Siebel) data.
  • Cognos – for broader reporting and analytics needs.
• Additional reporting and analytics related tools are in place and available for use (e.g. ETL).
	• IRCC currently uses a centralized EDW for reporting and analytics (i.e. separate from transactional data).
	  • Data is currently loaded into the EDW 12 – 24 hours after entry into transactional systems, but faster refresh cycles are being investigated.
	  • Data lakes (distributed data model) is being investigated as a DW model for the future.
	• IRCC has teams of Data Scientists, Reporting Primes, Business Analysts, etc. distributed across the department.

Recommendations	

• Work with Data Analysis and EDW to:
  • Establish a staffing model for DPM Phase 3.
  • Document future state high level reporting capabilities and requirements.	

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5. Implementation / Deployment
5.1 Infrastructure & Operations (1 of 2)

Category Readiness: **Medium**

Findings	

• Disaster Recovery is a key element of Phases 1&2 of DPM.
  • This is an essential prerequisite to Phase 3 as GCMS downtime over the past 16 months has been very high.
• Business Continuity plans are reportedly in place and tested periodically.
• Change and Release Management processes are in place, but participation of SMEs has been siloed. Recently started to re-establish the IRCC Change Advisory Board (CAB) to improve collaboration among SMEs, but processes is still nascent.
  • Change and Release Management is for on-prem applications only – cloud-based applications are out of scope.
  • Existing Change and Release Management processes are predominantly reactive (i.e. making sure key tasks are performed before changes are released to production) rather than proactive (i.e. planning and scheduling changes and releases to be timely, non-disruptive, etc.).
  • Change and Release Management is based on longer cycles and a waterfall methodology. There was an identified need to evolve to a model based on Agile development and DevOps.
• Incident Management, Problem Management and Root Cause Analysis capabilities are currently limited / weak.
	• IT operations (including for GCMS) shares resources with support and maintenance functions. These are the same resources that will be needed for DPM and other projects that require GCMS and IRCC operations knowledge. It appears that these resources are limited, and substantial time and effort is required to train new resources.
	  • It is likely that there will be contention for GCMS operations resources (i.e. between GCMS production needs, DPM, and other projects) and there is not currently a plan in place to mitigate this risk.
	• IT operations support requirements for GCMS is likely to be decreased as a result of the Siebel upgrade that is part of TDR. However, this reduction will be partially offset by increasing demands on GCMS that will not be feasible to limit for the 5+ year timeframe for completing Phase 3, and the temporary complexity of aligning and integrating GCMS with the new solution as it is implemented in stages.
	• Infrastructure is supported by SSC, however, there are no SSC resourced dedicated to GCSM, or to IRCC in general.
	  • Interviewees indicated that SSC does not always prioritize GCMS / IRCC needs as highly as other stakeholders feel GC views the priority of GCMS / IRCC.
	• Infrastructure support for the new solution is likely to be provided by the managed service provider and the vendors, cloud-service providers, etc. that they sub-contract to. However, reliance on SSC will continue for the 5+ year timeframe for completing Phase 3 – i.e. until GCMS is retired.

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5. Implementation / Deployment
5.1 Infrastructure & Operations (2 of 2)

Category Readiness: **Medium**

Recommendations	

• Obtain dedicated support resources from SSC (for GCMS infrastructure support as well as for Phase 3).
  • Escalate to DM Core Services Committee if necessary.
  • Implement a direct relationship between IRCC and SSC resources with clearly identified Points of Contact (POCs).
• Explicitly identify GCMS resource needs to support GCMS infrastructure maintenance and operations for Phase 3 (i.e. Phase 3 changes that will impact GCMS), and incorporate into the Phase 3 resource plan.
	• Continue IT Operations' plans to evolve IRCC's CAB and related Change and Release Management processes. In particular:
	  • Enable collaboration and consultation among SMEs.
	  • Become more proactive in planning.
	  • Evolve processes to be more Agile and better align development to operations (i.e. DevOps).
	  • Incorporate cloud-based applications and shorten Change and Release cycles.
	• Establish an initiative to develop / mature Incident Management, Problem Management and Root Cause Analysis capabilities.

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5. Implementation / Deployment
5.2 Deployment

Category Readiness: **Medium**

Findings	

• See Infrastructure & Operations (assessment category 5.1) findings re. Change and Release Management.
• GCMS is a legacy system that IRCC is currently maintaining using a traditional model of 3 major releases per year.
  • Additional changes are deployed to production on a more frequent basis (as often as weekly), though they are generally minor and contained.
  • Siebel (i.e. GCMS) is currently the IP2016 release. The Phase 1 Siebel Upgrade project will upgrade Siebel to IP2017, with all patches to 2019 levels applied, which should enable more frequent DevOps style releases.
	• The fundamental approach of modernizing GCMS using an incremental approach should have a much lower risk than a parallel build of a comprehensive replacement solution that would be deployed in a single major cutover.
	  • Incremental deployments are also consistent with the longer team objective of maintaining modern technology platforms.
	  • The challenge with incremental releases will be the monolithic design of GCMS and the likely requirement to maintain components in production for extended periods of time after they have been replaced (i.e. to maintain the integrity of GCMS until it can be completely retired).
	• Deployment of new solutions will be primarily the responsibility of the Managed Service Provider, but for the purposes of readiness assessment it is assumed that 1) upgrades to GCMS will remain IRCC's responsibility; and 2) maintenance and upgrade releases to GCMS will be required for at least the next 5 years.

Recommendations	
• Monitor Siebel Upgrade project – if project encounters problems, assess and develop a response plan for Phase 3 readiness. • Collaborate with IT Operations to develop GCMS resource plan – ensure that there will be sufficient GCMS resources to meet future Phase 3 needs, even if other initiatives / priorities contend for GCMS resources.	• See Infrastructure & Operations (assessment category 5.1) recommendations re. Change and Release Management. • In the longer term, work with the selected Managed Service Provider to align GCMS release cycles with those for the new solution (include this planning in the Phase 3 Definition and Design process).

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5. Implementation / Deployment
5.3 User Support

Category Readiness: N.A.

Findings	
• User support requirements are multiple years in the future. • User support capabilities are currently in place for GCMS and other IRCC applications.	• User support capabilities can – and are likely to be – obtained from the managed service provider.
Recommendations	
• Define user support requirements in the Phase 3 RFP for managed services – begin considering user support requirements in Phase 3 planning and the RFP for Phase 3 definition and design services.	

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5. Implementation / Deployment
5.4 Knowledge Transfer

Category Readiness: N.A.

Findings	
• The overview of the required Resource Management Strategy in the Phase 3 business case identifies the need for knowledge and skill transfer to Operations.	• Knowledge transfer requirements are multiple years in the future. • Knowledge transfer capabilities should be available from the managed service provider that is eventually selected.
Recommendations	
• Define knowledge transfer requirements in the Phase 3 RFP for managed services – begin considering knowledge transfer requirements in Phase 3 planning and the RFP for Phase 3 definition and design services.	

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5. Implementation / Deployment
5.5 Operational Support

Category Readiness: **N.A.**

Findings	
• Operational support requirements are multiple years in the future.	• Operational support capabilities can typically be obtained from managed service providers or any of their sub-contractors, vendors, etc.
Recommendations	
• Define operational support requirements in the Phase 3 RFP for managed services – begin considering operational support requirements in Phase 3 planning and the RFP for Phase 3 definition and design services.	

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6. Change Management

6.1 Change Management & Stakeholder Perception (1 of 2)

Category Readiness: **Medium**

Findings	

• There is a dedicated Change Management Lead for Phase 3.
• Change Management is explicitly identified as one of the five levers of the Digital Transformation Programme and the need for a Stakeholder Engagement, Communications and Change Management Strategy is identified in the in the Phase 3 business case.
• There is a broad Change Management Strategy drafted for Phase 3, intended to tie together change management, communication, training and other elements of change. It will provide a good foundation for more detailed strategy documents (i.e. for change management, communications, etc.).
• There is not yet a documented Stakeholder Engagement Strategy or focused Change Management Strategy for Phase 3.
• IRCC has recently established the Enterprise Change Management Branch (ECMB).
  • While ECMB currently has limited capabilities, it is in the process of establishing change management principles and methodologies, identifying available and required tools and templates, and training almost 50 IRCC staff in change management (PROSCI certification).
  • ECMB has been implemented in a hub-and-spoke model, and is working with groups and individuals across IRCC.
  • ECMB is interested in supporting / collaborating with DPM.
	• There is an established function for change management (stakeholder engagement; communications; and training) for Phases 1&2. The change management strategy is understood, but is not explicitly documented.
	  • The need for change management for Phase 3 will be substantially higher than for Phases 1&2 – which will have relatively little visible impact to most stakeholders.
	• The Phases 1&2 change management function:
	  • Has a clear approach for aligning programme and project change management needs.
	  • Is coordinating with the Transformation Branch change management function (TES) as well as Corporate Communications and other related teams.
	  • Is in the process of growing from 1+ FTE to 4 FTE.
	• A preliminary stakeholder analysis has been performed for Phases 1&2. Additional detail would be beneficial, but it should provide a foundation for Phase 3.
	  • Internal and OGD stakeholders are documented with an assessment of their influence on DPM and impact by DPM.
	  • The Phase 3 draft Change Management Strategy also identifies stakeholders and includes a preliminary stakeholder analysis.

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6. Change Management

6.1 Change Management & Stakeholder Perception (2 of 2)

Category Readiness: **Medium**

Recommendations	

• Provide a formal mandate for the Phase 3 Change Management Lead that includes all elements of change management (i.e. includes communications, training, etc.).
• Incorporate change management planning activities in the project schedule.
• Formalize the mandates of, and relationships between, the various change management functions (i.e. DPM Communications; TES; Corporate Communications).
• Work with ECMB, TES, Corporate Communications, and the Learning Academy to complete the broad Change Management Strategy for Phase 3.
	• Develop the specific Change Management Strategy and Stakeholder Engagement Strategy.
	  • Include an explicit focus on how to obtain and build commitment from IRCC's leadership at the Director level and above.
	  • Explicitly address the staffing model to be used.
	• Develop the Change Management Plan and Stakeholder Engagement Plan.
	• Expand the stakeholder analysis to include specific needs, specific messaging, communication channels, training needs, etc. for each stakeholder group.
	  • Include an explicit focus on IRCC's leadership at the Director level and above.

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6. Change Management
6.2 Communications

Category Readiness: **High**

Findings	

• See assessment category 6.1 (Change Management & Stakeholder Perception) for related findings.
• There is a documented need for Communication Management Strategy in the Phase 3 business case. However, there is not yet a documented Communication Strategy for Phase 3.
• The need for programme communication is relatively urgent as DPM Phase 3 is large, complex and highly visible.
  • Phase 3's communication needs will be extensive – substantially greater and more complex than for Phases 1&2.
• Phase 1&2 communications is in place and expanding its resources to support and align communications for the DPM (Phases 1&2) programme and the three key projects.
• DPM Phase 1&2 Communications coordinates with TES (Transformation Branch) and Corporate Communications via regular (structured) meetings and informal relationships.
	• A preliminary communications plan (Excel spreadsheet) is in place for Phases 1&2, but is only minimally being used to manage DPM communications. It is not yet being used to manage project communications.
	• The model now being used by Transformation Branch – a matrixed model where Transformation funds communications resources who are part of Corporate Communications, but dedicated to Transformation – is both viable for DPM and scalable.
	  • Corporate Communications can also provide subject matter expertise and tools that DPM will need in the future (e.g. communications strategy development; specialized media communications; and video production) as needed.
	• There is potential complexity in aligning communications for the DPM programme and the broader Transformation programme.

Recommendations	

• See recommendations for category 6.1 (Change Management & Stakeholder Perception) and category 3.4 (Resources).
• The Phase 3 Change Management Lead should dedicate a high level of short-term focus to communication execution.
• Begin planning activities with Corporate Communications.
  • Begin periodic meetings with Corporate Communications.
  • Develop the Phase 3 Communication Strategy and begin executing it.
  • Align to the Change Management Strategy (see recommendations for assessment category 6.1) with a particular early focus on IRCC leadership at the Director level an above.
	• Begin developing the Communication Plan for Phase 3.
	  • Align to the Phase 3 Change Management Plan and Stakeholder Engagement Plan.
	• Plan a matrixed organization model to leverage Corporate Communications resources as much as possible for DPM. Plan for a single Communications Manager to be the Point-of-Contact (POC) for all Corporate Communications service and to manage all Corporate Communications resources assigned to DPM.

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6. Change Management
6.3 Training

Category Readiness: **Medium**

Findings	
• There is not yet a documented Training Strategy for Phase 3 (or for Phases 1&2). • It is too early to understand the Phase 3 training needs in any detail. However, training needs for Phase 3 will be extensive – substantially greater and more complex than for Phases 1&2. • The Learning Academy supports a federated training model for IRCC and can provide a range of services including support developing a training strategy, supplying training resources, content development, training delivery, training procurement, etc.	• While the funding model needs to be worked out, the Learning Academy has some experience supporting projects and could support a matrixed team structure for DPM. • The Learning Academy has various tools required to support training, which can be leveraged by DPM. • The Learning Academy is leading the selection and procurement of a SaaS Learning Management System (LMS) that DPM should be able to leverage. • Objective is to be in initial production by March 2023.
Recommendations	

• See recommendations for category 6.1 (Change Management & Stakeholder Perception) and category 3.4 (Resources).
• Develop a preliminary Training Strategy for Phase 3 that addresses both known requirements (e.g. geographic distribution; types of stakeholders that will require training) and unknown requirements (e.g. specific processes and functions).
  • Use an options model for addressing the unknown requirements.
  • Align to the Change Management Strategy (see recommendations for assessment category 6.1).
	• Plan a matrixed organization model to leverage Training Academy resources as much as possible for DPM. Plan for a single Learning Academy Manager to be the Point-of-Contact (POC) for all Learning Academy service and to manage all Learning Academy resources assigned to DPM.
	• Obtain a Learning Academy POC to support the development of the Training Strategy.

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7. Foundational
7.1 Vendor Management

Category Readiness: **Medium**

Findings	

• While IRCC has an asset management function (part of IT Security) and a procurement function, it does not have a formal vendor management function.
• GC does not provide strong supports for individual departments to manage vendor relationships.
  • GC manages some vendors through central agencies, or allows departments to manage vendor independently (provided central agency guidelines, policies, etc. are followed).
• IRCC implemented a vendor management function for PPMI that may be leverageable by DPM.
	• Vendor relationships are complicated by:
	  • Vendor relationships spanning multiple departments.
	  • Constraints (regulatory and cultural) on how vendor relationships can be managed, performance measured, and controls implemented.
	• DPM's procurement strategy is to have a single service provider as the "prime" provider of a managed services contract with as many systems integrator and vendor sub-contractors as required by the prime. This model will simplify some aspects of vendor management and provides some time to implement a more formal vendor management function.

Recommendations	

• Define a formal vendor management model for both DPM and IRCC.
  • Investigate leveraging the vendor management model implemented for PPMI.
  • Obtain TransCom / ExCom approval and implement the vendor management model in parallel to the Phase 3 managed service procurement process, as well as any required external approvals (e.g. DM Core Services, TB and PSPC).	

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7. Foundational
7.2 Security

Category Readiness: **Medium**

Findings	
• IT Security provides a range of project / programme related security services, including performing SAAs and PIAs. • IT Security should be able to provide resources to support the security needs of Phase 3 and has a history of providing security subject matter expertise to IRCC projects. • There is not yet a documented Security Strategy for Phase 3 (or for Phases 1&2). It is not yet clear how IT Security is expected to interact with the Phase 3 programme and it's service provider(s), the potential scope of resources that may be required, or how resource funding will work for a programme as large as Phase 3 will be.	• IT Security has recently received increased support for reducing technical debt related to IRCC's IT security. However, funding and staffing have only been provided for 2 of 9 security service implementation / upgrade initiatives.
Recommendations	
• Incorporate IT Security, Corp Sec and CSO into Phase 3 planning. • Incorporate IT Security, Corp Sec and CSO into the Phase 3 procurement planning and process. • Obtain a Security Lead for Phase 3 that has primarily responsibility for all security related issues, responsibilities, activities, etc.	• Develop a preliminary Security Strategy for Phase 3 focused on clarifying the staffing model, security resource funding, and identification of key security related risks and constraints. • Assess the dependency of Phase 3 on the security technical debt reduction projects – begin formally tracking the dependencies (see assessment category 1.6 – External Dependencies), and document and begin managing related risks appropriately.

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7. Foundational
7.3 Methodology & Tools (1 of 2)

Category Readiness: **Medium**

Findings	

• EPPM/EPMO, the JourneyLabs and other project delivery team use different project management methodologies. EPPM branch has directorates supporting operational sectors and branches. The Transformation program has a similar function, though DPM Phases 1&2 have their own PMO.
• A PMO is in place for Phases 1&2, with a defined project and programme management methodology.
  • The Phase 1&2 programme and project teams are gradually refining and maturing their project management methodology.
• Programme management methodology is not yet clearly defined. IRCC will need to work with TB to define a mutually acceptable programme management methodology.
• IRCC has both waterfall and Agile (JourneyLab) development methodologies.
  • Agile methodology being used by the JourneyLabs is in the process of being scaled, but the methodology has not yet been demonstrated as scalable and has not been documented.
• IRCC has a defined set of applications that are licensed and can be used, including:
  • MS Project and basic project management templates are available. More scalable, flexible and diverse tools are not currently available, though CA Clarity is being piloted.
  • Azure and AWS development toolkits, and a variety of other tools and libraries.
  • IBM Rational and Azure DevOps for testing.
  • Outlook, Teams, GCDocs and WebEx for communication and collaboration.
	• Use of cloud-based tools is inconsistent, with some teams using them and others reporting that most cloud-based tools cannot be used as they have not yet received security certification.
	• The key issue with obtaining new applications / tools are:
	  • Time required to validate compatibility and security of any new applications / tools with IRCC's and GC's standards, infrastructure and images.
	  • Requirement for SaaS applications and tools to obtain security validation, which is (rightly) an essential requirement for their use.
	  • Note: Security validation for SaaS solutions is now being performed by the Canadian Securities Establishment (CSE), and takes months to complete.
	• The intent of the programme to leverage, and expand its use of Journey Labs, as much as possible is appropriate for a large transformation programme. The JourneyLabs are part of the overall Transformation Programme and should be leverageable by DPM if / when appropriate.
	• There is a willingness within IRCC, DPM and Transformation teams to align and standardize required methodologies and tools (though this is rarely a trivial exercise).
	• There is an opportunity to leverage the (eventually) selected service provider to provide methodologies and tools.
	• Note: There is a documented need for a Monitoring and Control Strategy in the Phase 3 business case, which for a large, complex programme requires appropriate and consistent methodologies and tools.

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7. Foundational
7.3 Methodology & Tools (2 of 2)

Category Readiness: **Medium**

Recommendations	

• Align the PPM functional areas to eliminate duplication of methodologies and tools.
  • Prioritize leveraging PPM methodology being implemented by Phases 1&2.
  • Investigate leveraging CA Clarity PPM for Phase 3.
  • Validate methodology and tools with EPMO and TB.
• Prioritize leveraging development methodology and tools being proven by Transformation JourneyLabs.
	• Explicitly address methodology and tools in the programme sourcing strategy, scope definition and resource planning (assessment categories 1.5, 3.1 and 3.4).
	  • Define a PPM and solution delivery methodology and tools strategy that is aligned to the scope of the service solution sourcing strategy, and ensuing RFP.
	  • Determine the tools that IRCC will need to acquire and develop a clear selection and procurement strategy and plan.

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7. Foundational
7.4 Compliance

Category Readiness: **Medium**

Findings	

• It is known that some legislative changes will be required to fully implement DPM Phase 3.
  • Legislative changes have already been made to IRPA and the Passport Act to allow for the increased use of electronic and digital means.
  • Legislative changes are being requested (via the Annual Authority and Regulatory Bill (AARB)) to update the Citizenship Act to allow the increased use of electronic and digital means; and to facilitate sharing of information within IRCC and with other federal and provincial entities.
• IRCC Legal Counsel is engaged with DPM at a programme level and with individual projects. However:
  • There is not yet documented analysis of potential legislative, regulatory or policy changes that will be required for Phase 3.
  • Overall IRCC Legal Counsel engagement is ad hoc.
	• While changes to legislation often take more than a year to implement – which could have a significant negative impact on the project – there is not much that can be done to accelerate this process.
	• There is an appropriate single primary point of contact for DPM within the IRCC Legal team.
	• Engagement with PSPC Legal will be required as the sourcing process progresses.
	• TB does not yet have clearly defined requirements for the management of programmes, which creates compliance related risks (particularly related to Budget, Schedule (assessment categories 3.2 and 3.3), oversight, and audit.

Recommendations	

• Implement a more disciplined process for engaging IRCC Legal Counsel in DPM.
  • Initiate monthly meetings at the DG/ADM level to identify and address DPM activities and needs.
  • Include IRCC Legal Counsel in distribution of programme status reports.
• Incorporate General Counsel in the planning for Phase 3 definition and design activities.
	• Begin working with IRCC Legal Counsel to develop and execute a plan to begin informal communication with PSPC Legal to inform them of DPM's future support needs.
	• Begin engaging with TB and proactively providing / proposing:
	  • A budget management and control model appropriate to a large, complex transformation programme.
	  • A programme management and control model that is agile enough to meet IRCC's need to delivery the DPM programme as well as TB's requirement that controls are in place.

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Digital Platform Modernization

Appendix C: Assessment Framework & Methodology Overview

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Readiness and Risk Assessment Framework Overview

Domain	Category	Domain	Category
1. Strategy & Leadership	1.1 Executive Support	4. Solution Development	4.1 Requirements
	1.2 Vision, Goals & Objectives		4.2 Solution Design **
	1.3 Business Case & Benefits Management		4.3 Development & Configuration
	1.4 Governance		4.4 Testing
	1.5 Sourcing Strategy		4.5 Integration / Interfaces
	1.6 External Dependencies		4.6 Data Conversion **
2. Architecture	2.1 Enterprise Architecture *		4.7 Reporting & Analytics
	2.2 Application Architecture *	5. Implementation / Deployment	5.1 Infrastructure & Operations
	2.3 Solution Architecture **		5.2 Deployment
	2.4 Business Architecture		5.3 User Support
	2.5 Technology Architecture		5.4 Knowledge Transfer
	2.6 Information Architecture		5.5 Operational Support
	2.7 Security Architecture	6. Change Management	6.1 Change Management & Stakeholder Perception
	2.8 Integration Architecture		6.2 Communications
3. Project Delivery	3.1 Scope		6.3 Training
	3.2 Schedule	7. Foundational	7.1 Vendor Management
	3.3 Budget		7.2 Security
	3.4 Resources		7.3 Methodology & Tools
	3.5 Risk Management		7.4 Compliance
	3.6 Issue Management **		
	3.7 Team Collaboration & Cohesion		
	3.8 Quality Assurance **		

* Not applicable to programme / project readiness or risk assessments.
** Not applicable to departmental readiness assessments.
Descriptions of each assessment category are provided in Appendix D.

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DPM Readiness Assessment Framework – Overview and Context

- The DPM readiness assessment framework provides a comprehensive and robust framework for assessing the readiness – and in the future assessing the risk status – of the DPM programme as a whole, individual projects within the programme, and IRCC as a department.
  - There are a few variations in the Categories assessed for a programme or project vs. a department.
  - The detailed descriptions of each category differ for assessing a programme or project vs. assessing a department. The descriptions are fundamentally aligned, but the specific expectations / needs are different.
- Each category is assessed for risk based on the current state of the programme / individual projects / IRCC, <u>at the point in time of the assessment</u>, using the readiness / risk scales detailed on the following slides.
- The actual assessment should be based on a comparison of planning status and demonstrated execution of each individual Risk Category against programme / project requirements (overall and at the point-in-time of the assessment) and applicable best practices.
- The results of the assessments <u>do not</u> directly constitute a recommendation to proceed, delay or not proceed with the DPM programme or individual project – it indicates areas that require attention to minimize the risk of failure and maximize the benefits of success.

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Programme Assessment Framework Readiness Ratings

Rating	Description of Programme / Project Readiness
High	Capability is in place to execute activities related to the specific assessment category as per the needs of the overall programme or individual project.
Medium	Capability is not fully in place to execute activities related to the specific assessment category as per the needs of the overall programme / individual project, but the capability can be put in place with moderate effort and cost, in time to meet programme / project needs.
Low	Capability is not fully in place to execute activities related to the specific assessment category as per the needs of the overall programme / individual project. Putting the capabilities in place will require substantial effort and cost, and may require a delay in the programme / project.

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Appendix D: Assessment Framework Details

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DPM Programme Assessment Framework
1. Strategy & Leadership

Category	Description
1.1 Executive Support	Executive sponsorship for the programme / project, demonstrated via actions related to financing, resourcing, etc.
1.2 Vision, Goals & Objectives	The clarity of definition and alignment of: ▪ Vision – which defines the broad, high-level end-state of the programme / project. ▪ Goals – which define specific business end-states (i.e. long-term outcomes) to be achieved. ▪ Objectives – measurable specifications that help determine if / when goals have been achieved. The breadth and consistency of understanding of the vision, goals & objectives by key stakeholders, including the programme / project sponsor, and the extent to which they provide clear guidance to the programme / project.
1.3 Business Case & Benefits Management	Overall business case for the programme with some clear breakdown for individual projects. Business Case should relate to specific benefits and how those benefits will be measured during and after the programme / project.
1.4 Governance	Clearly defined governance framework and demonstrated timely, efficient, and effective decision making. This includes decision making impacting DPM within the mandate of (but not limited to) the DPM programme, IRCC executive leadership, and other government departments (OGDs) including TBS.
1.5 Sourcing Strategy	Specification of a sourcing and procurement strategy, and the planning and execution of that strategy to support programme / project delivery.
1.6 External Dependencies	Identification and assessment of external dependencies with clear incorporation into governance, executive support, risk management, and other project activities.

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DPM Programme Assessment Framework
2. Architecture

Category	Description
2.1 Enterprise Architecture	Not applicable to programme / project readiness or risk assessments.
2.2 Application Architecture	Not applicable to programme / project readiness or risk assessments.
2.3 Solution Architecture	Overall programme / project architecture is defined, documented, understood and applied as appropriate for the point-in-time, including the alignment of business, technology, information, security and integration architectures. The assessment also considers the programme's / project's ability (and need) to obtain required approvals and align to departmental and GC EARB standards. For an individual project it includes the alignment of the project's solution architecture to the overall programme architecture.
2.4 Business Architecture	Assessment of all architecture categories considers the definition, documentation, clarity, understanding and application / execution of applicable policies, processes, tools, resources, etc. The assessment also considers the programme's / project's ability (and need) to obtain required approvals and align to departmental and GC EARB standards (and for individual projects to align to programme standards).
2.5 Technology Architecture	
2.6 Information Architecture	
2.7 Security Architecture	
2.8 Integration Architecture	

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DPM Programme Assessment Framework
3. Project Delivery

Category	Description
3.1 Scope	Definition, documentation, understanding and control of all dimensions of programme / project scope, (i.e. processes; business units; geographic; application; etc.) as well as exclusions from scope.
3.2 Schedule	Documentation and management of an appropriately detailed schedule, with explicit tracking of individual tasks and milestones, and measurement of project progress. Also considered is project schedule contingency.
3.3 Budget	Availability and control of programme / project budget sufficient to deliver the solution, including appropriate contingency.
3.4 Resources	The availability and assignment of appropriate resources to implement the programme / project, explicitly considering key resources, nature of their assignment to the projects (i.e. prioritization of their responsibilities), and sourcing of resources.
3.5 Risk Management	Identification, management and mitigation of programme / project risks. This category does not assess the risks themselves, except as they apply to the Risk Categories in the programme / project assessment.
3.6 Issue Management	Identification, management, escalation and resolution of programme / project issues, with specific requirements that they are resolved both effectively and efficiently.
3.7 Team Collaboration & Cohesion	Process and methods for enabling the communication among, and collaboration of, project (people) resources and the effectiveness of that collaboration to enable team efficiency and effectiveness.
3.8 Quality Assurance	The assessment and management of the quality of key program / project management artifacts and deliverables, with a specific focus on the specification of quality criteria before the artifact or deliverable is started, alignment to the purpose of the artifacts / deliverables (including consideration of who will use them), and the process of ensuring their quality.

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DPM Programme Assessment Framework
4. Solution Development

Category	Description
4.1 Requirements	Definition and management of solution requirements (i.e. functional, technical and other) and their traceability to design, development and testing.
4.2 Solution Design	Detailed design of the solution components that clearly demonstrates the ability to develop a solution to address the requirements, architectural specifications, etc. The design must address the maintainability, extensibility, scalability, robustness, etc. of the solution once it is developed, based on proven viability and integration of the components.
4.3 Development & Configuration	The methodology, tools and implementation of the solution's development and configuration, taking into account the methodology appropriate to the organization's needs, capabilities and experience, and the solution's nature.
4.4 Testing	The approach and implementation of testing processes including the tools, resources and scheduling for each type of test (unit testing, functional testing, integration testing, UAT and regression testing). Specific focus on definition of test cases (including expected results and failure cases), traceability to requirements, and allocation of necessary time to perform the testing and defect resolution.
4.5 Integration / Interfaces	The design and development of solution interfaces consistent with the Integration Architecture.
4.6 Data Conversion	The planning, tools and implementation of data conversion from legacy solutions to the new solution, specifically including data validation and cleansing.
4.7 Reporting & Analytics	The implementation of reporting and analytics capabilities of the solution, including both specific to the solution and in support of enterprise reporting and analytics.

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DPM Programme Assessment Framework
5. Implementation / Deployment

Category	Description
5.1 Infrastructure & Operations	The assessment, planning and implementation of technical infrastructure and operations / ITSM processes required by the solution, including cloud, data center, network and distributed computing requirements. This considers all production requirements such as security, vendor management, maintenance and upgrade processes, etc.
5.2 Deployment	The plans and resources for deploying the solution to production, including roll-back / contingency plans, scheduling and resourcing of key activities (i.e. data conversion, training, etc.), vendor support, and full integration into production (i.e. DR/BC, integration with support and maintenance processes, etc.). Deployment includes the retirement of legacy solutions.
5.3 User Support	Planning and implementation of processes to support end-users and key stakeholders, just before, during and after solution deployment, and in the longer-term.
5.4 Knowledge Transfer	Planning and implementation of transfer of essential knowledge from third parties (primarily vendors, system integrators, and contractors) to internal staff, and from development / implementation teams to production / support teams.
5.5 Operational Support	The planning and approach for the overall long-term support of the solution, including budget, staffing, vendor agreements, service level agreements, etc.

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DPM Programme Assessment Framework
6. Change Management

Category	Description
6.1 Change Management & Stakeholder Perception	Assessment, planning and execution of stakeholder management activities, particularly the identification of specific stakeholders / stakeholder groups, determination of their needs, and alignment of business process changes, communication, and training activities to accomplish changes / business objectives.
6.2 Communications	Identification, documentation, planning and execution of communication targeted to specific stakeholders / stakeholder groups, and the determination of the effectiveness of that communication (e.g. via feedback) to support business changes (i.e. achievement of project benefits).
6.3 Training	The development and delivery of training to end-users and key stakeholders, that enables them to effectively use the new solution and implement changes to processes and specific tasks / activities. Particular focus on the timing of training, process focus of the training, and the long-term leveragability of the training (i.e. post-deployment).

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DPM Programme Assessment Framework
7. Foundational

Category	Description
7.1 Vendor Management	Strategy, planning and implementation of vendor management processes, including the required resources and relationships to manage vendors during the programme / project.
7.2 Security	Planning and execution of solution security consistent with the Security Architecture, and compliance with departmental requirements. Security should be considered comprehensively and cohesively, including physical security, application security capability and configuration, data / information security and privacy, environmental security (e.g. data center; network; distributed environment), physical security, partner security capabilities (e.g. system integrator), ability to operationalize security in production, etc.
7.3 Methodology & Tools	The definition and use of appropriate methodologies for application development, programme / project management, ITSM, OCM, etc. and the availability and use of appropriate tools / applications / templates to support those methodologies and their corresponding processes.
7.4 Compliance	The ability to identify legislative, regulatory, policy and other compliance requirements and ensure their incorporation into all required areas of planning and execution. This includes the availability of resources with the requisite knowledge and experience to identify and implement compliance requirements.

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Appendix E: DPM Readiness Assessment Scorecard

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DPM Readiness Assessment Scorecard

Domain	Category	
1. Strategy & Leadership	1.1 Executive Support	Low
	1.2 Vision, Goals & Objectives	High
	1.3 Business Case & Benefits Management	Med
	1.4 Governance	Low
	1.5 Sourcing Strategy	Low
	1.6 External Dependencies	Med
2. Architecture	2.1 Enterprise Architecture *	N.A.
	2.2 Application Architecture *	N.A.
	2.3 Solution Architecture **	Med
	2.4 Business Architecture	Med
	2.5 Technology Architecture	High
	2.6 Information Architecture	Low
	2.7 Security Architecture	Med
	2.8 Integration Architecture	High
3. Project Delivery	3.1 Scope	Med
	3.2 Schedule	High
	3.3 Budget	Low
	3.4 Resources	Low
	3.5 Risk Management	Med
	3.6 Issue Management **	Med
	3.7 Team Collaboration & Cohesion	High
	3.8 Quality Assurance **	Low

Domain	Category	
4. Solution Development	4.1 Requirements	Med
	4.2 Solution Design **	N.A.
	4.3 Development & Configuration	N.A.
	4.4 Testing	Low
	4.5 Integration / Interfaces	Med
	4.6 Data Conversion **	Low
	4.7 Reporting & Analytics	High
5. Implementation / Deployment	5.1 Infrastructure & Operations	Med
	5.2 Deployment	Med
	5.3 User Support	N.A.
	5.4 Knowledge Transfer	N.A.
	5.5 Operational Support	N.A.
6. Change Management	6.1 Change Management & Stakeholder Perception	Med
	6.2 Communications	High
	6.3 Training	Med
7. Foundational	7.1 Vendor Management	Med
	7.2 Security	Med
	7.3 Methodology & Tools	Med
	7.4 Compliance	Med

* Not applicable to programme / project readiness or risk assessments.
** Not applicable to departmental readiness assessments.
Descriptions of each assessment category are provided in Appendix D.

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DPM Phase 3 – Phoenix Lessons Learned

July 30, 2021

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1. Executive Summary

This report identifies the lessons learned from the Phoenix Transformation of Pay Administration initiative (Phoenix), determines their applicability to the DPM Phase 3 programme, and summarizes how the DPM Phase 3 programme is mitigating the risks represented by these lessons learned.

Overall, the DPM Phase 3 programme is addressing the lessons learned from Phoenix. While all large, complex transformation programmes are susceptible to these risks, if DPM Phase 3 proceeds with its current approach, strategies and plans it should decrease the likelihood of replicating the largest errors of the Phoenix project.

Notwithstanding DPM Phase 3's ongoing and planned activities, there were seven recommendations identified to help avoid problems experienced by Phoenix:

- **Change Culture –** Ensure there are specific activities to assess IRCC's cultural readiness for change, and proactively implement a culture that encourages and enables change. Ensure that the strategy and plan address change readiness at all levels of the organization – particularly executive leadership, which sets direction and attitude for the entire department.
- **Challenge Timing of Benefits** – Amend the TDSS Readiness Assessment recommendations regarding benefits management to ensure rigorous assessment of the timing of benefit achievement.
- **Vendor Partnership** – Explicitly identify the need to establish a strategic partnership with the selected vendor and to determine exactly how to create that relationship (and contract) as part of the Sourcing Approach / Strategy, and incorporate it into the sourcing and procurement process.
- **Mid-Initiative Adjustments** – Explicitly call out the need to adjust the business case and expected benefits on an ongoing basis in the variety of programme documents being developed, and incorporate this concept into programme governance, scope management, benefit management, communications, etc.
- **Loss of Staff** – Explicitly add staff retention to the Change Management mandate, with corresponding updates to the programme activities and deliverables, and add a "Loss of Staff" risk to the programme risk register in order to include it in the ongoing risk management process.
- **Go-Live Support** – Incorporate appropriate go-live support requirements into the eventual RFP and final contract for DPM3 managed services. Assess these needs as part of the process of defining the solution scope and requirements.
- **Reporting** – Ensure that reporting requirements for benefit management (i.e. the measurement aspect) are addressed early in the DPM3 Definition & Design process – prior to commitments being made to TB regarding measurement of programme benefits.

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2. Phoenix Lessons Learned Context and Objective

The Phoenix initiative can be considered one of the most noteworthy and visible transformation programme failures not just in the Canadian government, but in all of Canada.

- Initial project budget was $310M. Rather than achieving $70M in annual savings, unplanned expenditures are estimated at $2.2B.
- More than half of government employees experienced pay problems.
- Approximately 2 years after deployment the pay centre had accumulated almost 600,000 pay action requests – more than double the number of public sector employees being paid by the system.
- Approximately 3 years after deployment it was admitted that the system's problems could not be corrected and a major new initiative was started to replace Phoenix.
- Problems with the Phoenix systems were making news headlines on a very frequent basis, causing ongoing damage to the government's reputation, and eroding people's confidence in the government.

It is now a common refrain in large government projects that "we do not want to be another Phoenix". While these types of statements communicate desired standards for success, the statements themselves are often indicative of a fear-based mindset.

A more productive approach is to consolidate the lessons that can be learned from Phoenix, identify those that apply to the DPM Phase 3 programme, and develop specific plans – and execute corresponding actions – to mitigate similar risks.

3. Approach Overview

The assessment was performed by David Lorber, who is currently employed by IRCC (contract) and has previously conducted more than 50 programme / project risk and readiness assessments, including Gartner's risk assessment of the Phoenix initiative a few months before its deployment.

The assessment is based on a combination of documents reviewed (see Appendix A), recollections from Gartner's Phoenix risk assessment, and the readiness assessment conducted for DPM Phase 3 (DPM3) in Feb – March 2021.

The results of the assessments do not constitute a recommendation to proceed, delay or not proceed with the DPM3 programme. It identifies specific problems experienced by Phoenix and clarifies how they will be mitigated for DPM3.

This assessment specifically focuses on lessons learned from Phoenix, how they apply to DPM3, and how DPM3 is addressing those specific problems that occurred for Phoenix. It is important to note that this assessment is not performed against an exhaustive list of best practices for transformation programmes, or even against all of the risks that were identified for Phoenix. A broader assessment against a comprehensive set of categories / capabilities is available in the "DPM Phase 3 – TDSS Readiness Assessment".

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3.1 Report Structure

This report addresses 24 lessons learned from the Phoenix Transformation of Pay Administration initiative. Each lesson learned is explicitly addressed in a dedicated sub-section within section 4 of this report – Lessons Learned from Phoenix and Application to DPM Phase 3. Each lessons learned sub-section is further sub-divided into sub-sub-sections:

- **Explanation** – A brief explanation of the lesson learned from Phoenix. Explanations are generally limited to a few sentences as the intent is to clarify the lesson, not to educate readers on the topic. Additional information can be obtained from the Goss Gilroy Report and/or other topic specific sources.
- **Applicability** – A brief explanation of how the lesson learned applies to the DPM3 programme.
- **Mitigation Activities** – An identification of activities being undertaken by the DPM3 programme to address the lesson learned from Phoenix. These are provided as references to project activities, project documents, or sections of the TDSS Readiness Assessment performed for DPM3.
- **Recommendation** – This section is included for five of the lessons learned, where a specific recommendation is provided to address a gap in current project activities.

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4. Lessons Learned from Phoenix and Application to DPM Phase 3

4.1 Scoping

Explanation

Scope of the solution needs to be clearly defined for the overall programme and for any projects within it. Scope needs to address all domains relevant to the transformation – business processes, stakeholders, organization, roles, skills, applications, etc. in addition to the technology.

It is also important to clarify as early as possible the expected changes to the service model, ensuring it comprehensively overlays the scope of the changes and has an achievable implementation plan.

Applicability

DPM3 will impact some other government departments and many external stakeholders. Of greater concern is that – as in the early stages of many transformation programmes – the end-state of the solution is unclear. Defining scope for DPM3 will be critical.

In addition, with an $830M budget, there will be attempts by stakeholders to expand the scope of DPM3 to include indirect needs that are a priority for those stakeholders.

Mitigation Activities

- The selection & procurement process includes an explicit Definition phase of activity with approximately 3 potential solution providers. This phase of activity will include the development of the scope of the overall solution.
- Vendors' proposals in response to the RFP that will be issued at the end of the Definition phase of activities will be required to include specification of their proposed scope of work in relation to the overall programme.
- TDSS Readiness Assessment category 3.1 addresses Scope. Specific recommendations relate to developing a scope management framework and developing a scope management mechanisms.
- TDSS Readiness Assessment categories 1.5 (Sourcing Strategy), 2.4 (Business Architecture), and 4.1 (Requirements) also include recommendations that address solution scope.

4.2 Roadmap

Explanation

Need a high-level depiction and explanation of the inter-relationships between individual projects, major milestones and deliverables, key solution components, and significant activities.

The roadmap should also identify dependencies on external events, projects, activities, etc. that could substantially impact the programme or be impacted by the programme.

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Applicability

With the intent to structure DPM3 as a relatively large number of smaller projects it will be important to understand their interdependencies. In particular, the programme will implement a variety of foundational technologies and capabilities that will apply to many IRCC services, increased interdependencies between services (i.e. while breaking down siloes and integrating journeys), and impact or create dependencies with external partners.

Mitigation Activities

- Vendor proposals will be required to include a broad solution / implementation roadmap, including dependencies among project and with external initiatives, constraints, etc.
- TDSS Readiness Assessment category 1.6 addresses External Dependencies. Specific recommendations relate to identifying and assessing external dependencies, and incorporating dependency monitoring and management into the risk management process.

4.3 Accountability

Explanation

Overall accountability must be to a single Minister and deputy head, even if the impact is across multiple departments. An overall accountability framework should identify implications for other organizations and what their roles, responsibilities, accountabilities, etc. are.

Applicability

Clear and senior level accountability is essential for DPM3 as the transformation will impact IRCC sectors and branches – as well as partner departments (e.g. CBSA; IRB) – in different ways. Sector / branch priorities may not always align, and programme priorities may conflict with IRCC operational priorities.

Mitigation Activities

- Executive level accountability is explicitly addressed in the following documents which will be finalized during the programme Definition phase:
  - DPM Phase 3 Programme Organization Structure (file "IRCC TDSS DPM3 Org Structure - vXX.pptx")
  - DPM Phase 3 RACI Model (file "DPM Phase 3 Preliminary RACI Model - v210602.pptx")
- TDSS Readiness Assessment category 1.1 addresses Executive Support. Specific recommendations relate to obtaining sufficiently senior executive level support with corresponding accountability.

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4.4 Governance

Explanation

The governance framework must fully reflect the broad range of stakeholders, as well as enable efficient and effective decision making prioritizing programme success.

Applicability

While DPM3 governance can and should align to IRCC governance, it needs greater agility and speed to support timely, effective decision making. The programme is scheduled to run for 6+ years and ineffective or inefficient decision making could easily drive it significantly over budget or schedule. DPM3 governance also needs to balance the needs of multiple stakeholders – both internal and external – that will be impacted by many decisions (to ensure support for implementing the decision) with the need for a clear decision maker (to enable efficiency).

Mitigation Activities

- A director level working group has been established to identify options for, and recommend, a governance model to specifically address the needs of DPM3.
  - Participants represent the DPM3 team, Transformation Branch, EPPM, Corporate Governance, IAB and Finance.
  - The experience of ESDC with their BDM programme governance as well as DPM Phases 1&2 governance are being identified and leveraged.
- Governance documentation is being developed by DPM3 in collaboration with other programme stakeholders.
- Governance is addressed in the DPM Phase 3 RACI Model document (file "DPM Phase 3 Preliminary RACI Model - v210602.pptx")
- TDSS Readiness Assessment category 1.4 addresses Governance. Specific recommendations relate to focusing governance on decision making; governance structure; developing a RACI model; differentiating the approaches for internal governance (defining appropriate frameworks and processes) and external governance (dedicated function for managing it).
- A milestone-based approach to funding is being defined by the Core Services Enabling Team (CSET), including the related governance for subsequent TB Submissions and tranche approvals.

4.5 Oversight

Explanation

A challenge function is required to provide effective independent oversight of the complete scope of the programme and transformation, and report directly to the accountable Minister or deputy head.

Oversight includes an independent and comprehensive risk management function that has clear insight into the programme and visibility to the accountable party (i.e. Minister or deputy head).

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Applicability

Oversight will be essential for DPM3 both to satisfy external scrutiny and to provide a mechanism for ongoing course corrections. Both of these needs are compounded by the programme's high budget, visibility, complexity, etc.

Mitigation Activities

- The DPM3 programme is conducting two readiness assessments (one complete and one underway) focused around TDSS and IRCC as a whole.
- DPM3 is developing an Oversight & Assurance Strategy with IRCC's Internal Audit & Assurance Branch (IAAB) and other stakeholders, and plans to implement ongoing oversight and assurance activities for the overall programme and for individual projects. Oversight and assurance will:
  - Be consistent with industry best practices (i.e. as described by the Managing Successful Programmes (MSP) methodology; Project Management Institute's PMBOK; Gartner research; etc.).
  - Address Treasury Board's expectations as described in documents such as the "Nimble Assurance for Core Services Initiatives" presentation.
  - Apply / be consistent with the three lines of defense model.
- The Transformation programme and IAAB both have roles in oversight and assurance. Discussions are in progress to coordinate and align the roles of these two stakeholders (and others) with that of DPM3's planned oversight and assurance function.
- There are external organizations including Treasury Board and the DM Core Services Committee that are expected to provide some level of oversight.

4.6 Change Culture

Explanation

An organization's culture should be agile and open to change (along with the challenges associated with change), or alternatively, programmes need to explicitly manage the associated change resistance with strong challenge functions, oversight, change management, communications, etc.

Applicability

IRCC appears to have a culture that generally embraces change. The challenge will be 1) monitoring for change fatigue resulting from DPM3 being implemented after IRCC has implemented many changes resulting from COVID; and 2) managing the rate of change, which can be expected to be very high due to the nature of a transformation programme.

Mitigation Activities

- DPM3 will implement an oversight and assurance model that includes periodic health checks of the programme. These health checks will include assessments of change managements activities and corresponding change readiness.
- DPM3 is currently conducting an IRCC Readiness Assessment that includes the department's readiness to implement changes.

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Recommendation

- As part of the Change Management strategy and plan, ensure that there are specific activities to assess IRCC's cultural readiness for change, and proactively implement a culture that encourages and enables change. Ensure that the strategy and plan address change readiness at all levels of the organization – particularly executive leadership, which sets direction and attitude for the entire department.

4.7 Change Management Planning & Execution

Explanation

Change management (and corresponding leadership) must be a priority throughout the life of a high risk, complex transformation initiative.

Note: While Change Culture considers an organizations ability to accept and adopt changes, Change Management Planning & Execution is the ability to prepare for and proactively implement change. These can be thought of as opposite perspectives of the same core issue.

Applicability

Change Management Planning & Execution will be essential for DPM3. Unlike many large, complex programmes, DPM3 is a true transformation programme and there is potential for any and every business process – and component activities performed by people – to change.

Mitigation Activities

- TDSS Readiness Assessment category 6.1 addresses Change Management. Specific recommendations relate to assigning a Change Management Lead; leveraging IRCC change management capabilities (via ECMB); developing the strategies and plans for change management and stakeholder engagement; performing stakeholder analysis.
- TDSS Readiness Assessment categories 6.2 (Communications), and 6.3 (Training) also include recommendations that address change management.

4.8 Business Processes

Explanation

With significant changes to business processes, these processes and their corresponding procedures, tasks, staffing, training, tools, etc. must be rigorously assessed and tested. Processes can be refined after go-live, but more substantial changes are disruptive, costly and negatively impact stakeholder confidence and departmental reputation.

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Applicability

There is potential for any and all of IRCC's business processes to change significantly (e.g. to support policy modernization; to leverage new technologies that enable improved efficiency; to improve client service). In addition to the need to manage this type of change, it is essential that the new processes are efficient and effective. Where large-scale business changes are being made, it is easy for details to not be adequately assessed and designed, which in turn creates the potential for significant business disruption, and operational and reputational risk.

Mitigation Activities

- DPM3 plans to include subject matter experts from SPP, Operations and Settlement & Integration to drive the definition of future state business processes (during both the Definition & Design phase and the Development & Implementation phases).
- DPM3 will be leveraging the knowledge and experience of 3rd party service providers to assist with the analysis of current business processes and design of future state business processes.
- TDSS Readiness Assessment category 2.4 addresses Business Architecture. Specific recommendations relate to conducting business process analysis.

4.9 Communications

Explanation

Communications is an essential element of the change process and must be integrated into every project, phase, activity, etc. of a transformation programme. Communications must be relevant, timely, clear and comprehensive.

Applicability

Communications will be important to IRCC due to the high level of uncertainty create by a transformation programme and the need to manage expectations, educate stakeholders, create consensus, obtain input, etc. This becomes increasingly important as services are changed, and previously disparate processes and people are integrated.

Mitigation Activities

- A Change Management Lead is being on-boarded to the DPM3 programme and
- TDSS Readiness Assessment category 6.2 addresses Communications. Specific recommendations relate to immediate short-term focus on communication; developing a communications strategy and plan; and leveraging Corporate Communications' capabilities.

4.10 Communicate Functionality

Explanation

Communicate anticipated functionality to all stakeholders. Explicitly identify limitations and collaboratively develop strategies to deal with them.

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Applicability

With the potential scope of change, it will be important to communicate those change to the users, for the subject matter experts to communicate clear functional needs to the programme teams, and for gaps to be analyzed and mitigation plans developed.

Mitigation Activities

- See Mitigation Activities for Lessons Learned sections:
  - 3.6 – Change Culture
  - 3.7 – Change Management Planning & Execution
  - 3.8 – Business Processes
  - 3.9 – Communications

4.11 Align Processes to COTS Solutions

Explanation

When transforming an organization, change business processes to align to COTS solutions. Modifying the COTS solutions to align to business processes only as a last resort as this typically accelerates the accumulation of technical debt and long-term costs.

Applicability

It is expected that the eventual DPM3 solution will be a combination integrated and carefully configured COTS products, with some level of custom development required. There is potential for stakeholders to resist changes to processes and force unnecessary changes to COTS solutions for short-term convenience – particularly where multiple similar processes are supported by the same applications.

Mitigation Activities

- The selection & procurement process will include:
  - An explicit Definition phase of activity with approximately 3 potential solution providers. This phase of activity will include the development of the overall solution architecture.
  - Prototype development and/or solution piloting to validate the viability of the proposed solutions.
- Vendors' proposals in response to the RFP that will be issued at the end of the Definition phase of activities will be required to include specification of their proposed solution architecture.
- Proposed DPM architecture principles should be reviewed and if necessary updated to include one that specifies business process change is preferable to customizing COTS solutions.
- TDSS Readiness Assessment category 2.3 addresses Solution Architecture. Specific recommendations relate to establishing an architecture model for DPM3; engaging / assigning a Solution Architect; and identifying architecture need for DPM3.

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4.12 Proactively Manage Outcomes Throughout the Programme

Explanation

Develop and implement explicit outcomes management throughout the life of the programme from inception to post go-live. Success must be assessed for the overall programme and for individual projects; and based on business value achieved as well as incremental milestones that contribute to the longer-term achievement of benefits.

Applicability

Proactive outcome management is particularly important in a large transformation programme such as DPM3 as 1) details of the expected benefits will evolve as the programme progresses; 2) individual project must contribute to the overall programme outcomes, but in many cases contribution may be indirect and/or difficult to measure; 3) IRCC does not have a departmental benefit management function; and 4) there is Government of Canada mandate to quantitatively measure benefits (for public accountability and scrutiny), without a corresponding culture and toolset for doing so effectively and efficiently.

Mitigation Activities

- Benefit Management is explicitly identified as an activity / decision domain in the DPM Phase 3 RACI Model document (file "DPM Phase 3 Preliminary RACI Model - v210602.pptx"), with corresponding expectations of Accountable and Responsible parties being identified for it.
- A Benefit Management function is explicitly identified in the DPM Phase 3 Programme Organization Structure (file "IRCC TDSS DPM3 Org Structure - vXX.pptx").
- DPM will be following TB and DM Core Services Committee guidance in implementing a milestone-based funding validation model, where demonstrated achievement of key milestones will be a requirement for obtaining funding for each programme tranche.
- TDSS Readiness Assessment category 1.3 addresses Business Case & Benefit Management. Specific recommendations relate to developing a benefit management strategy and plan; and implementing a programme level function for benefit management; providing clear guidelines as to who will be measure benefits, ensure they are achieved, etc.

4.13 Challenge Timing of Benefits

Explanation

Challenge the schedule of benefit achievement taking into account practical experience, and adjusting over the life of the transformation initiative.

Applicability

Challenging the timing of benefits will be important for DPM3 as there will be incentive – from TB as well as other external stakeholders – to demonstrate the benefits of the

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programme. However, for a large transformation programme, benefits are likely to be incremental and accumulate over time.

The above incentive to shorten the planned timeframe for achieving benefits is exacerbated by the Agile philosophy of achieving incremental benefits quickly and iteratively, and potentially resisted by service providers who want to allow as much time as possible for benefit achievement as a form of contingency.

Mitigation Activities

- See Mitigation Activities for Lessons Learned section 3.12 (Proactively Manage Outcomes Throughout the Programme).

Recommendation

Challenging the timing of benefits achievement is not explicitly called out in the recommendations relating to Benefit Management in the TDSS Readiness Assessment (assessment category 1.3), but can be amended to those recommendations.

4.14 Engage and Support Affected Stakeholders

Explanation

Identify and engage other government departments early in the programme and ensure there is appropriate support for affected departments in the form of financing, personnel (technical and functional expertise), and change management expertise.

Applicability

DPM3 will result in changes to both business processes and enabling technologies that will impact other government departments. Without funding, there would be a higher likelihood of resistance as DPM3 contended against other departmental priorities.

Mitigation Activities

- The cost estimate for DPM3 included explicit estimation, and inclusion of the implementation costs, for other departments.
- User Support capabilities should be explicitly addressed as part of scope determination during the Definition and Design phase of DPM3.
- Interdepartmental advisory committees at the DM and ADM levels have been established for the Transformation programme. These committees will be leveraged by DPM3 for communication and collaboration.
- Interdepartmental advisory committees at the DG and Director level are being established for DPM3, also to be leveraged for communication and collaboration.
- The TDSS Readiness Assessment framework includes User Support as an explicit assessment category (5.3), but was out of scope at this early stage of the DPM3 programme.

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4.15 Testing

Explanation

Implement comprehensive testing, particularly end-to-end real-life simulating user testing. Only deploy the solution after all doubts (typically indicated by high priority test failures) have been addressed and independently verified.

Applicability

Testing will be critical for DPM3 as there will be many projects, many interdependencies, and a multi-year transition between the current legacy environment and the new solution. Furthermore, testing will need to include not only new technology and functionality, but new business processes.

As a final consideration, testing is the activity at the end of the Software Development Life Cycle (SDLC) – even for Agile development – and the one most likely to be shortened / reduced when there are schedule pressures.

Mitigation Activities

- A Testing function is explicitly identified in the DPM Phase 3 Programme Organization Structure (file "IRCC TDSS DPM3 Org Structure - vXX.pptx").
- TDSS Readiness Assessment category 4.4 addresses Testing. Specific recommendations relate to obtaining / assigning a Testing Lead for DPM3; defining a comprehensive testing framework and methodology for DPM3; and developing a roadmap for implementing the testing framework and methodology.

4.16 Engagement of the Private Sector

Explanation

Involve the private sector as well as the government in the critical initial stages of a transformation programme. Ensure a high level of collaboration and full consideration of all viable options.

Applicability

Engaging the private sector is essential for DPM3 for two key reasons. First, IRCC will depend on primate sector stakeholders (i.e. potential service providers) to help define the future state solution and conceptualize the art-of-the-possible. Second, a private sector partner will become IRCC's provider of the managed service and will need a high degree of ownership of the solution.

Mitigation Activities

- DPM3 is performing the selection and procurement process in a way that initially engages multiple potential service providers, and intends to work with three shortlisted services providers for the duration of the Definition and Design phase to maximize private sector input in an efficient manner.
- TDSS Readiness Assessment category 1.5 addresses Sourcing Strategy. Specific recommendations do not relate to engaging the private sector as the DPM3 sourcing approach already incorporates this best practice.

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4.17 Vendor Partnership

Explanation

Establish a strategic partnership with the vendor and structure the relationship so that both parties benefit. Avoid creating a relationship where the vendor is rewarded exclusively for tactical, short-term achievements.

Applicability

Strategic vendor partnership is essential for DPM3 as there will be an expectation of a long-term relationship with the selected service provider. It will be essential that the relationship is structured to encourage a win-win environment that can be effectively managed by both parties over an extended period of time. The relationship structure must be such that the vendor is encouraged to identify and facilitate the implementation of continuous improvement opportunities over the long term. There will also be a dependence created, and it will become a significant effort if IRCC decides to terminate the relationship.

Mitigation Activities

- A Vendor Management function is explicitly identified in the DPM Phase 3 Programme Organization Structure (file "IRCC TDSS DPM3 Org Structure - vXX.pptx").
- TDSS Readiness Assessment category 7.1 addresses Vendor Management. It specifically recommendations the definition and implementation of a formal vendor management model to support DPM3 in particular and IRCC in general.
- The planned long-term approach is to enter a managed service agreement with the selected service provider. This provides a structure to establish a strategic relationship between IRCC and the service provider.

Recommendation

TDSS Readiness Assessment category 7.1 identifies the need to establish a Vendor Management model for DPM3 in particular and IRCC in general. TDSS Readiness Assessment category 1.5 re. Sourcing Strategy confirm the need for an Agile approach and obtaining support from the DM Core Services Committee. However, there is also a need to explicitly establish a strategic partnership with the selected vendor and to determine exactly how to create that relationship (and contract). This may require the support of PSPC and the DM Core Services Committee to manage constraints on how GC employees are allowed to interact with vendors / service providers.

4.18 Mid-Initiative Adjustments

Explanation

Regularly review and update the business case for the programme and for individual projects, taking into account changes to scope, schedule and budget; success of stakeholder engagement and change management; effectiveness of governance; and timing of expected benefits among other factors.

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Applicability

There are three key drivers that make mid-initiative adjustments essential for DPM3:

- The programme creates the potential for any and every business process at IRCC – and component activities performed by people – to change.
- The scope of DPM3 will be defined and refined over the course of the Definition & Design phase (approximately 18 months).
- During the course of the 5+ year implementation, there will be changes to the solution resulting from changing needs and mandates, experience and understanding gained, and technology evolution

Mitigation Activities

- DPM3 and CSET are working with Treasury Board to establish a milestone-based programme governance framework. Current expectations are for the programme milestones (i.e. indicators that tangible accomplishments are being achieved that contribute to realizing programme benefits) to be reviewed on an annual basis during the process of requesting TB approval and release of funding for each programme Tranche (expected to be a year of funding and work).
- IAAB in its assurance role will have an independent role in assessing the effectiveness of the programme / projects on a periodic basis and identify opportunities for improvement and mid-initiative adjustments as needed, as well as validating the appropriateness of mid-initiative adjustments.
- The "DPM Phase 3 Governance Model" (file "DPM Phase 3 Governance Model - vXX.pptx") currently being drafted explicitly addresses the need for ongoing refinement to, and flexibility of, expected programme benefits.
- A Benefit Management function is explicitly identified in the DPM Phase 3 Programme Organization Structure (file "IRCC TDSS DPM3 Org Structure - vXX.pptx").

Recommendation

Explicitly call out the need to adjust the business case and expected benefits on an ongoing basis in the variety of programme documents being developed, and incorporate this concept into programme governance, scope management, benefit management, communications, etc.

4.19 Capacity Management

Explanation

Establish an explicit resource management function throughout the life of the programme to ensure the necessary workforce capacity, expertise, and corporate memory / knowledge are available. Establish detailed and readily implemented resource contingency plans.

Applicability

DPM3 will require a wide range of resources across numerous interdependent projects. The resources will be drawn from multiple sources (IRCC sectors; contractors; service

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providers; seconded from other departments; etc.). These two factors will result in a high level of complexity to manage the programme's resources efficiently and effectively.

Many of the resources required by DPM3 will be in high demand, with competition for the resources being from within IRCC, from other government departments, and from the private sector.

Mitigation Activities

- DPM3 has plans to work with IRCC executives / leaders to determine resource needs and how to fill them.
- IRCC's CHRO has clearly indicated his readiness to work with the DPM3 programme to help address its resource / staffing needs.
- TDSS Readiness Assessment category 3.4 addresses Resources. Specific recommendations relate to developing a resource management strategy (i.e. identifying broad resource needs; options for obtaining resources; process for identifying specific resource needs; methodology to apply resourcing options to specific needs; etc.) and staffing plans (including sourcing options and contingency plans); identifying resource needs; delegating resourcing authority to the Programme Lead; and assigning a dedicated Resource Manager for the programme.

4.20 Loss of Staff

Explanation

Plan and manage the business operations staff that are essential to both continued operations and the implementation of new processes. In particular, the focus needs to be on experienced staff with essential institutional and process knowledge that cannot be easily replaced.

Applicability

Many of IRCC's operations staff develop institutional knowledge and skills that cannot be obtained from outside of IRCC. These resources need to be monitored and managed, with particular attention to the possibility of work related stress and change fatigue in the first years of the DPM3 programme. This need is compounded by COVID-related factors (e.g. COVID driven changes during 2020 and early 2021; substantially increased immigration Levels targets in 2021-23).

Mitigation Activities

- DPM3 has obtained / assigned a Change Management and Communications Lead.
- DPM3 has begun the stakeholder analysis process (initial focus was on external stakeholders).

Recommendations

- Explicitly add staff retention to the Change Management mandate, with corresponding updates to the programme activities and deliverables.
- Add a "Loss of Staff" risk to the programme risk register in order to include it in the ongoing risk management process.

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4.21 Training

Explanation

Implement comprehensive and extensive training, which is required when there is substantial change to processes, procedures, roles and responsibilities. Training should be focused on performing business processes as well as clarifying the overall (changes to) business processes, services, etc.

Applicability

IRCC will need a wide range of training and education for Operations officers, stakeholders in other government departments, third parties. The training will need to be structured to be delivered to large numbers of participants during deployment, and on an ongoing basis when the new solution is in production in order to sustain the changes.

Training will be complicated by needs changing over the course of multiple years of solution development and deployment, and by the degree of change to IRCC's business processes and delivery capabilities as DPM3 is implemented.

Mitigation Activities

- A Training function is explicitly identified in the DPM Phase 3 Programme Organization Structure (file "IRCC TDSS DPM3 Org Structure - vXX.pptx").
- TDSS Readiness Assessment category 6.3 addresses Training. Specific recommendations relate to developing a training strategy for DPM3; leveraging Learning Academy resources.
    - Note: While the TDSS Readiness Assessment training recommendations do not explicitly identify the need to be process-focused or addressing training needs both during deployment and on an ongoing basis, this should be addressed in the recommended Training Strategy.

4.22 Phased Deployment

Explanation

Implement a large transformation in phases, which can be based on functionality, business processes, services, organizations / departments or other criteria. Generally deploy the solution in increasing waves of volume, complexity, visibility and risk. There are particular challenges with maintaining both the legacy and new solutions in parallel. Allow sufficient time between deployment waves for incorporating lessons learned, resolving defects, communications, education / training, updating support processes, and other continuous improvement activities.

Applicability

DPM3 will impact most – and possibly all – of IRCC's services. Combined with the need to begin achieving benefits relatively early in the programme (likely also an expectation of Treasury Board), the expected degree of changes, and requirements to ensure overall service is not disrupted, it will be a requirement for DPM3 to deploy components of the new solution incrementally.

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Mitigation Activities

- While there is not an explicit statement that deployment should be phased, the need is addressed by:
  - The intent to include a proof-of-concept and/or pilot during the Definition & Design phase of the programme.
  - The plan to implement the DPM3 solution over the course of many individual projects in multiple tranches over a period of approximately 5 years.
- Depending on the final structure and details of the milestone-based funding model, it could also contribute to a phased deployment approach.
- TDSS Readiness Assessment category 5.2 addresses Deployment and category 5.1 addresses Infrastructure & Operations. Specific recommendations do not relate to phased deployment as this is essentially incorporated into the approach for DPM3.

4.23 Go-Live Support

Explanation

Account for substantial spikes in user support requests immediately following each deployment wave. Use sequencing of waves to explicitly manage support spikes and enable more effective user support for each deployment wave.

Applicability

This will be an ongoing need as the solution is implemented incrementally. The domain of support required will be continually changing as different components of the solution are developed and deployed over a multi-year timeline.

It will be particularly important to address and resolve support requests efficiently to avoid a perpetually growing backlog as new components of the solution are deployed over time. Beyond a certain volume, support backlogs can be self-contributing as there are either insufficient resources to reduce the backlog, or programme resources need to be used to maintain service levels, thereby reducing the programme's capacity to both address root causes of problems and maintain the pace of solution development.

Mitigation Activities

- User Support and Operational Support were out of scope of the TDSS Readiness Assessment as it is too early in the programme to assess these categories meaningfully.

Recommendation

Incorporate appropriate go-live support requirements into the eventual RFP and final contract for DPM3 managed services. Assess these needs as part of the process of defining the solution scope and requirements.

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4.24 Reporting

Explanation

Reporting and analytics needs must be carefully assessed and capabilities planned, for both end-user needs and benefits tracking. Particular care is needed as long programmes may result in periods where data maintenance and migration is complex and data sets are split for periods of time.

Applicability

IRCC currently maintains a data warehouse to support extensive reporting. These capabilities will need to be maintained, and extended to include modern analytics capabilities and the ability to report on benefits and improvements achieved by the DPM3 programme. In addition, IRCC will need to retain controlled access to the correct information in a timely manner for operational purposes, while operations may be supported concurrently by legacy and new systems (and databases) for a period of time.

Mitigation Activities

- Reporting & Analytics, Programme Reporting, and Benefit Management functions are explicitly identified in the DPM Phase 3 Programme Organization Structure (file "IRCC TDSS DPM3 Org Structure - vXX.pptx").
- TDSS Readiness Assessment category 4.7 addresses Reporting & Analytics. Specific recommendations relate to documenting future state high level reporting capabilities and requirements.
- TDSS Readiness Assessment category 1.3 addresses Benefits Management. Specific recommendations relate to measuring programme and project benefits.

Recommendation

Ensure that reporting requirements for benefit management (i.e. the measurement aspect) are addressed early in the DPM3 Definition & Design process – prior to commitments being made to TB regarding measurement of programme benefits.

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Appendix A: Documents Reviewed

Documents reviewed as part of the Phoenix Lessons Learned assessment for DPM Phase 3 include:

- "The Phoenix Pay Problem – Working Towards a Solution", Report of the Standing Senate Committee on National Finance, July 2018.
- "Lessons Learned from the Transformation of Pay Administration Initiative", commonly referred to as the "Goss Gilroy Report", 2017.
- "Lessons Learned Regarding the Transformation of Pay Administration Initiative (TPA)" presentation at the National Capital Project Management Symposium, October 24, 2018.

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Overview, benefits and proposed next steps for IRCC's Digital Platform Modernization (DPM) programme

April 30, 2021

Version: Final

Connecting IRCC with Canadians, future Canadians and the world

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Context and objectives for this effort

Context

IRCC has embarked on an important Digital Platform Modernization (DPM) programme and has recently received budget approval for Phase 3

IRCC has decided to review and enhance the business case and transformation approach for the DPM programme

Objectives

1. Align on the case for change for the DPM programme

2. Convey how current business pain points will be addressed by DPM to deliver benefits to improve the client, employee, and partner experience

3. Share best practice to identify opportunities to improve the DPM programme

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Findings to date are based on conversations with 40+ stakeholders and the review of 70+ documents

IRCC Department touchpoints

IT Operations
Marie-Andrée Roy
Jean-Bernard Tessier

Digital Strategy
Yanick Larouche
Paul Faucher
Candice Gallo

GCMS Partners
Glenn Huisman
Robel Tsegaye
Michele-Aziza Magendo

Digital Labs
Connie Iatauro
Kristy Cook

Client Experience
Sylvain Beauchamp
Cinthya Rebaza
Jerome Foldes-Busque

International Network
Andie Daponte
Malcolm Campbell

Solutions Task Team
Korey McKinnon
Jean-Philippe Lafond
Lomega Etienne

Finance
Daniel St. Cyr
Christian Bergeron

Strategic Policy and Planning
Matthew Graham
Kees Bradley

Operations Planning and Performance
Peter Mielke
Matias Plotkin
Lisa Morrison

ATIP
Daniel Kipin

Transformation Office
Bruno Akkaya
Joseph Cleyn
Jason Lachapelle
Derek Kunsken
Rahul Badami

Research and Evaluation
David Kurfurst
Rebeka Lee
Cédric de Chardon

Settlement Network
Mark Ignatiev
Tal Elharrar

Other
Ken Davis
Nick Fidler
Debbie Lagace
Patrick Laflamme
Shawn Dussault
Sean McNair
Nancy Violette-Fehr

Data sources:

70+ DPM documents from GCDOCS

2019-20 data on IT outages

2019-20 data on ATIP requests

2019-20 data from Client Support Centre

External reports

2020 Accenture Final Deliverable (includes case for change, architecture diagnostic, digital opportunities, benefits case, and costing)

2021 Gartner DPM Phase 3 Strategy Benchmark (incudes architecture diagnostic and costing)

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Executive summary (1/4)

1. Overview and case for change for DPM

IRCC delivers critical services to Canada that drive demographic, economic, and cultural growth. While delivering on this mission to meet immigration levels, IRCC has recently faced significant pain points around client experience and operational efficiency. Furthermore, COVID-19 accelerated IRCC's imperative for change by amplifying existing challenges, resulting in increased operational challenges and longer client processing times. These pain points, together with the reliability issues of IRCC's technology ecosystem, have impacted numerous government departments and third party partners.

IRCC's current technology ecosystem is one of the primary root causes for these obstacles and impedes IRCC's ability to meet ambitious levels commitments without additional labour and/or flexing on service commitments. Challenges with the current technology ecosystem include:

- The Global Case Management System (GCMS) has been significantly customized to stretch the system beyond its original capabilities, which has resulted in a high level of technical debt (e.g., complex customization resulting in high effort to maintain and evolve the solution) and increased risk of system failure (e.g., 570+ outage hours in the last 2 years)
- Solutions were designed with a "delivery at any cost" mentality that prioritized deadlines over client / employee experience and efficiency
- GCMS's limited integration capabilities significantly hinder connectivity with other systems and the ability to enhance processes and user interfaces

2. Overview of DPM

To address these pain points, handle increasing volumes, and become the world leader in migration, IRCC launched a Digital Transformation to achieve 3 key outcomes: a) Deliver a world class client experience, b) Achieve operational excellence, and c) Enhance program integrity. The Digital Platform Modernization (DPM) programme is the critical enabler for Digital Transformation delivering its full potential value and will be delivered across 3 phases.

Phase 1 ($60M; Oct 2020 – Sept 2021) and Phase 2 ($72M; Oct 2021 – Mar 2023), which have been approved and are now being executed, aim to stabilize and standardize the IRCC technology ecosystem through reducing technical debt by improving GCMS connectivity and upgrading Siebel to reduce system outages, as well as building cloud connectivity to enable further modernization.

Phase 3 ($830M; Apr 2021 – Dec 2026), which received budget approval, will build on Phases 1 and 2 incrementally over time to drive additional improvements in client experience, operational efficiency, and program integrity, as well as to enable IRCC to achieve its strategic vision to maximize value for Canada. For example, unlocking future-state capabilities could enable IRCC to implement a recommendation engine for clients, predict volumes, manage employee workload, improve fraud detection, and identify applicants to fill critical labour shortages.

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Executive summary (2/4)

3. Benefits from DPM

The DPM programme supports the 3 key outcomes of the IRCC Digital Transformation and enables a 4th additional objective for IRCC:

A. Deliver a world class client experience

Providing a superior client experience ensures ease of use for those interacting with IRCC's services, supporting Canada in competing globally for top talent across all sectors and fuelling demographic, economic, and cultural growth. DPM enables this through:

- Reimagining client journeys to deliver intuitive and personalized digital experiences (including self-service capabilities that enable clients to submit and update applications online, as well as create transparency on application status)
- Enabling a 360° view of clients to proactively and seamlessly transition clients through different phases in their lifecycle (e.g., supporting the progression from temporary resident to permanent resident to citizenship and passport)
- Reducing client-felt wait times by increasing adherence to service standards and improving service standards though operational efficiencies

B. Achieve operational excellence

DPM can deliver >$140M of annual productivity gains by improving how employees process applications and enabling self-serve capabilities for clients to reduce ATIP requests and enquiries on application status. The capture of value from productivity gains can enable IRCC to:

- Increase adherence to service standards and improve service standards to improve client experience
- Handle increasing volumes to consistently meet targets without incurring additional costs and break the link between rising immigration levels and FTEs
- Improve the quality of decision making to enhance program integrity and deliver the right services to the right person

Other benefits that drive further operational excellence include:

- Achieving IT efficiencies to reduce development and maintenance costs (total infrastructure-related costs will depend on the end-state)
- Improving stability to increase productivity for IRCC and its partners, reducing productivity losses
- Improving program responsiveness to expedite implementation of critical changes and position IRCC as an agile and flexible organization with the ability to quickly adapt to unknown future needs
- Improving employee engagement to boost morale and productivity and ensure that employees are equipped with the knowledge, tools, and mindsets to succeed in a digital environment

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Executive summary (3/4)

C. Enhance program integrity

Enhancing program integrity ensures IRCC maintains a high standard of quality to honour its commitment to Canadians. DPM enables this by:

- Improving the quality of decision-making to reduce fraud and deliver the right services to the right person (e.g., enabling new capabilities such as advanced analytics to identify inconsistencies in applications and assist officers by highlighting relevant decision factors)
- Mitigating privacy, security, and system failure risks to maintain IRCC's reputation while also reducing fraud (e.g., implementing security enhancements improves IRCC's ability to transfer information securely and reducing technical debt reduces system failure risk)

D. Enable the IRCC operating model of the future

The IRCC operating model of the future removes the restrictions of archaic systems and processes by improving connectivity with GCMS to reduce work-arounds and facilitating cross-functional collaboration. The operating model of the future includes:

- New capabilities that enable IRCC to reimagine the art of the possible (e.g., advanced analytics to implement a recommendation engine for clients, predict volumes, manage employee workload, improve fraud detection, and identify applicants to fill critical labour shortages)
- Improved data architecture/ governance that integrates information across silos to unlock new client insights and identify process improvements
- Improved connectivity that expands the current partner ecosystem (e.g., partnering with housing and socio-cultural associations to share data on social integration of new immigrants and help the Settlement network identify areas of focus)

4. Value assurance assessment

An in-depth review of digital platform modernization efforts realized by peers has identified 4 key success factors:

- Strategy: Align stakeholders on vision and strategy, quantify value drivers and cost, and develop roadmaps to iteratively deliver value
- Technology: Define client journeys based on human-centered design, implement a modern architecture, and design sourcing strategy
- Governance: Establish agile control tower to oversee the program and assemble / build needed skills to maximize value realization
- Adoption: Transition to future-state operating model and incorporate change management across the organization

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Executive summary (4/4)

The assessment of the DPM programme against these key success factors indicates a number of strengths and opportunities. IRCC should build on identified strengths while addressing key gaps to maximize benefits from DPM.

Phases 1 & 2 (system standardization and stabilization for Phase 3): The target state vision, objectives and high-level roadmap are clearly defined. IRCC has done great work to ensure client journeys are based on human-centered design and to define a plan that addresses technical debt and architecture issues to stabilize the technology ecosystem and manage near-term risk. To ensure successful delivery and value realization, IRCC should undertake the following activities:

- Program management & governance: Centralize and increase effectiveness of DPM programme governance (e.g., simplify current program management structure and further engage key stakeholders)
- Value drivers & cost: Refine benefit realization plan to define measurements of success for all workstreams (e.g., cloud connectivity) and size benefits to optimize prioritization of deliverables
- Product roadmap: Refine DPM and Digital Labs roadmaps and add milestones to iteratively deliver on expected outcomes (e.g., reduce system downtime to 100 hours, then 50)
- Vendor strategy & management: Ensure the vision and key decisions on scope are owned by IRCC; assess internal capabilities and implement effective vendor management practices in areas where external support is required

Phase 3: The budget submission included a high-level case for change, best-in-class capabilities that should be deployed, and categories of benefits sought with accompanying metrics and targets. Since the budget submission for phase 3 was approved, it is now critical that the Digital Transformation evolve from an IT-led initiative to an IRCC strategic priority that is owned by the full IRCC leadership to ensure successful delivery. Next steps should include:

- Vision & strategy: Define IRCC's vision, strategic objectives, and target operating model for Phase 3 (including target state client journeys and business and technology capabilities required to enable them)
- Value drivers & cost: Develop a benefits realization plan that clearly links investments to expected benefits, and right-size the scope and level of investment accordingly
- Product roadmap: Define the target state architecture for the technology ecosystem to deliver the required business and technology capabilities

The budget approval for DPM Phase 3 represents a great opportunity for IRCC to transform its operating model and increase the value it delivers to Canada. These proposed activities will ensure that IRCC maximizes the benefits from this significant investment.

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Agenda

1. **Background**
2. Case for change for DPM
3. Overview of DPM
4. Benefits from DPM
5. Value assurance assessment

Appendix

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Immigration is a strategic asset for Canada and remains a major driver of demographic, economic, and cultural growth …

Immigration in Canada:

Bolsters the economy	+0.6%	• Estimated difference in gross domestic product (GDP) growth (without immigration, GDP growth would decrease from ~1.7% in 2019 to ~1.1% in 2040)
	$200K	• Estimated savings in net tax burden for future unborn generations of Canadians compared to Canadians born in 2017
	600K	• Number of self-employed immigrants across the country as of 2016; employing over 260K Canadians
Fills labor gaps	1 in 4	• Workers in Canada are immigrants
	400K	• Number of temporary work permits issued in 2019
Mitigates against an aging population	3x	• Number of centenarians since 2001
	2:1	• Estimated worker to retiree ratio in 2035 (compared to 7:1 in 1971)
Enriches the cultural fabric	80%	• Of Canada's population growth is fueled by immigration

Source: Financial Post, IRCC 2020 Annual report, Chronicle Herald, IRCC Economic benefits of immigration report

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… impacting all sectors of the Canadian Economy

Sector	Details
Science and technology	• **34%** of people working in scientific research and development services are not native to Canada • **~500,000** immigrants working in Canada are trained in science, technology, engineering and mathematics (STEM) fields
Food services	• **>25%** of workers in the food and beverage sector are immigrants • **53%** of business owners in food and beverage are immigrants
Health care	• **>40%** of newcomers to Canada between 2011 and 2016 who were working in the health-care sector were employed in nursing and residential care facilities
Sports and entertainment	• **>2,800** immigrants work as athletes, coaches, officials and referees across the country • **20%** of all people working in Canada as sports coaches are immigrants • **>16,000** immigrants earn their living as program leaders and instructors in recreation, sport and fitness
Arts and culture	• **>80,000** immigrants work in professional and technical occupations in arts and culture across the country • **>25%** of theater, fashion, exhibit and other creative designers are immigrants • **~30%** of independent artists, writers and performers are immigrants
Philanthropy	• **>25%** of people employed in the social assistance sector were born outside of Canada, as were nearly **~20%** in social advocacy, civic, social and giving-related organizations • **On average**, immigrants donate more to charity than Canadian-born citizens, citing making a contribution to the community as a top reason for donating

Source: IRCC #ImmigrationMatters campaign

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IRCC delivers critical services to Canada

Program inventory

Permanent Residents	Temporary Residents	Citizenship and Passports
Grants permanent resident status to citizens of other countries who have immigrated to Canada (e.g., for economic, family-related, or humanitarian reasons)	Legally authorizes foreign nationals who meet the requirements of the legislation to enter Canada for temporary purposes as a visitor, student, worker, or temporary resident permit holder	Grants citizenship and issues passports to permanent residents who meet eligibility requirements (e.g., sufficient duration of stay in Canada, passed a citizenship test, proven language skills)
Federal Economic Immigration	Visitors	Citizenship
Regional Economic Immigration	International Students	Passport
Family Reunification	Temporary Workers	
Humanitarian/ Compassionate and Discretionary Immigration		
Refugee Resettlement		
Asylum		
Settlement		

Source: IRCC Departmental Plan 2021 - 22

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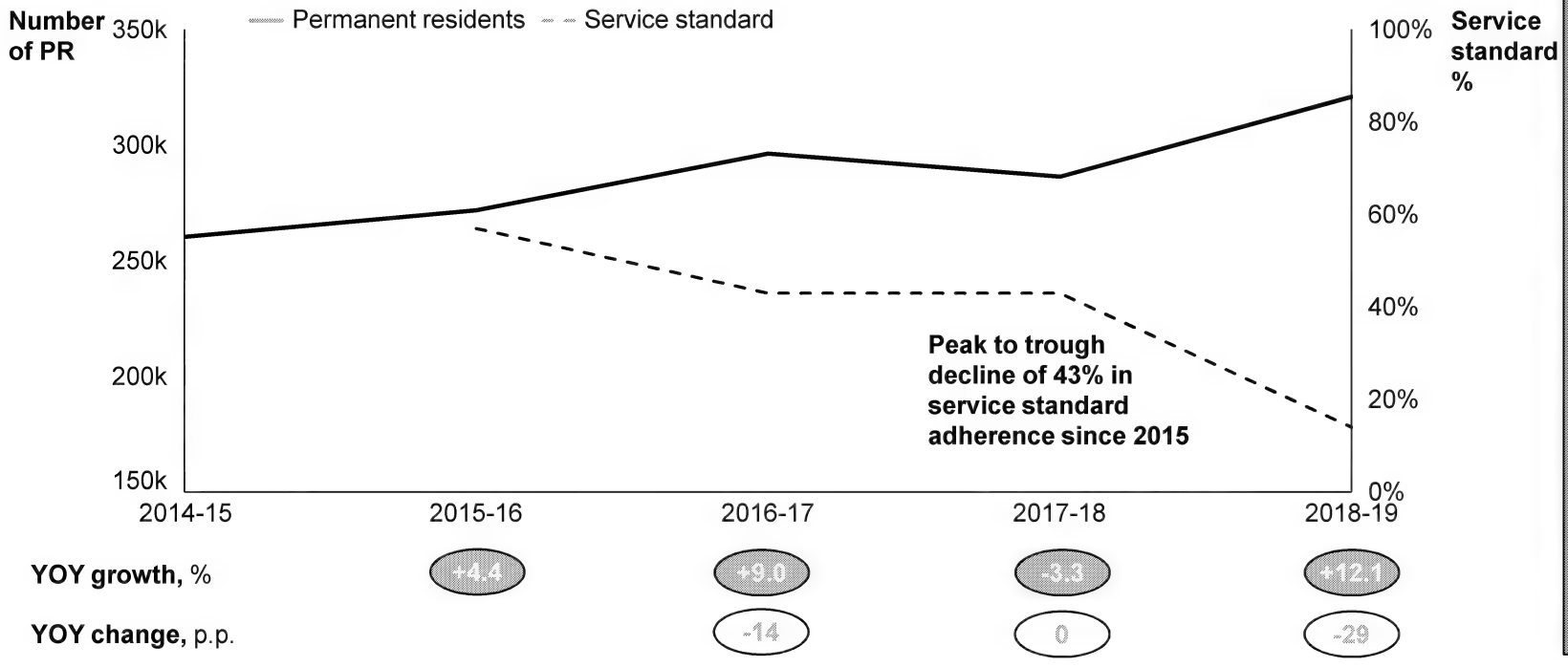
IRCC has recently faced significant pain points around client experience and operational efficiency

Number of Permanent Resident admissions vs service standards[1], #, %



In its current state, IRCC is struggling to meet immigration targets while processing 330k – 340k admissions.

As demand continues to increase, IRCC will face additional challenges.

[1] Service standards are 6 months for PR-Economic (Express Entry), 11 months for other PR-Economic, and 12 months for PR-Family

Source: IRCC Departmental Plan 2020 - 21

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Furthermore, the COVID-19 pandemic has accelerated IRCC's imperative for change by amplifying existing headwinds

Impact	Details

Increased operational challenges	• Initial gaps in digital offerings (e.g., remote workplace enablement) affected IRCC's ability to operate at full capacity, creating backlogs and delays in providing services
	  • Response time for email enquiries from clients increased from 3 to 18 business days (~one month)
	  • The Client Support Centre experienced a 34% increase in enquiries compared to the same time last year, with case status and processing time driving the majority of enquiries

Longer client wait times	• Client wait times were impacted substantially to due legacy paper-based processes (e.g., paper-based processing limited where processing could be done) and lack of GCMS system agility
Shortfall in admissions	• Global travel restrictions led to a shortfall in admissions; immigrants whose applications were approved were unable to enter the country • To ensure Canada has the workers it needs to fill crucial labour market gaps, targets were increased to welcome immigrants at a rate of about 1% of the population of Canada (i.e., 401,000 permanent residents in 2021, 411,000 in 2022 and 421,000 in 2023)

Source: Stakeholder interviews

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IRCC's technology ecosystem is based on a Global Case Management System that supports most activities

Permanent Residents

Settlement and integration

Economic immigration, family reunification, humanitarian immigration, refugee, and asylum

Temporary Residents

Tourists, business travellers, international students, and temporary workers

Citizenship

Passports

RAP-IS[1]

Ongoing migration

GCS

GCMS

IRIS

GCS (Grants and Contributions System) and GCMS (Global Case Management System) are two separate systems both developed on Siebel software

Third parties

NGOs[2] (e.g., Association for New Canadians)

Other government departments

CBSA

IRB

RCMP

ESDC Employment and Social Development Canada

GAC Global Affairs Canada

CSIS

Third parties with operational dependencies on GCMS

Airlines

Canadian Bank Note

Visa Application Centres

Authorized Paid Representatives

Migration Five biometric information sharing (i.e., Australia, New Zealand, UK, US)

US biographic information sharing

IRCC partners

Employment and Social Development Canada

Global Affairs Canada

[1] Resettlement Assistance Program- income support | [2] Non-governmental organization

Source: Stakeholder interviews

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The technology ecosystem provides a number of key capabilities to IRCC …

NON-EXHAUSTIVE

Manage client journey

Provide core business functionalities to process applications (e.g., assess eligibility & admissibility, manage activities, decisions, & business rules, assign applications, transfer applications)

Provide client service

Provide different channels for clients to interact with IRCC (e.g., in-person, mail, email, phone, web)

Audit

Enable audit capabilities (e.g., audit read and write)

Cooperate with partners

Facilitate information sharing with partners (e.g., RCMP, CBSA, etc.)

Manage workloads

Manage and distribute workflows and workloads

Manage payments

Enable collection of fees (e.g., receivables as well as payments)

Analyze & derive insights

Provide descriptive insights (e.g., business and executive insights)

Manage identities

Manage risk by enabling name search, identity match, searching, validating and transmitting biometrics, etc.

Manage information

Enable intake of different documents (e.g., letters, forms, attachments, secure documents) and file management capabilities (e.g., create, transfer, merge)

Perform scheduling

Schedule events (e.g., interviews, tests, hearings, ceremonies)

Source: Stakeholder interviews, Accenture architecture diagnostic

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… as well as to multiple stakeholders outside IRCC (1/2)

	Rationale for connection	Number of end users	Nature of connection
CBSA	• Use IRCC data to verify traveller identities and visa/ permit status at ports of entry • Ingest eTA status to provide to airlines to verify traveller documentation	• 8000 – 9000 users on IRCC's Citrix environment	• Ingests IRCC data through its database
ESDC Employment and Social Development Canada	• Validate employment for Canadians applying for passports	• Very few end users	• Queries GCMS for client bio data, immigration status, and type of document issued to validate documents • Includes multiple integrations of various types (e.g., Social Insurance Register)
IRB	• Exchange information (e.g., immigration case files, refugee records, immigration appeal records)	• Hundreds of users	• Ingests IRCC data daily through GCMS
GAC Global Affairs Canada	• Enable overseas officers to issue visitor visas by going through the GAC network	• ~3000 users	• Ingests IRCC data through its database
RCMP	• Exchange biometric data (e.g., photograph, fingerprints) to match information related to previous criminality and immigration history in Canada	• Very few end users	• Special link to exchange biometric data • Uses GCMS for queries (e.g., to check visa status of suspects)
CSIS	• Similar to RCMP	• Very few end users	• Coordinated use through RCMP

Source: Stakeholder interviews

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… as well as to multiple stakeholders outside IRCC (2/2)

	Rationale for connection	Nature of connection
Airlines	• Verify whether travellers have appropriate documentation before they enter Canada	• Queries CBSA, which ingests eTA information from GCMS, for a "board" or "no-board" message
Canadian Bank Note (CBN)	• Print permanent resident cards and passports	• IRCC documents are sent to CBN for printing • CBN provides proof of printing and ID number to IRCC
Authorized Paid Representatives (APR)	• Submit applications on behalf of their clients	• APRs rely on GCMS being online to submit client applications to GCMS
Migration Five (i.e., Australia, New Zealand, US, UK)	• Share biometric-based information with partners to strengthen identity management, counter fraud, and reduce abuse of immigration programs	• Biometric data is exchanged
United States of America	• Share biographic-based information (e.g., name, date, country of birth and gender) with USA to improve immigration and border determinations (this is in addition to biometric information that all the M5 share)	• Biographic data is exchanged

Source: Stakeholder interviews

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The technology ecosystem is the source of many pain points (1/2)

	Description	Quotes
Poor client experience	• GCMS does not enable self-service capabilities, resulting in clients calling into the Client Support Centre and filing ATIP requests given the lack of visibility on the status of their application • Operational inefficiencies increase difficulty in achieving service standards • System outages prevent eTAs from being issued, causing people to miss flights	"As there is no feedback loop, changing an address for a client can take a few weeks due to all the back and forth" "Client wait times were impacted substantially if the office that contained their paper application was closed because of COVID-19" "On June 30 2019, 235 people missed flights as GCMS could not issue eTAs"
Operational inefficiencies	• Application processing is highly manual for officers, resulting in significant operational inefficiencies • Clients file ATIP requests to receive an update on their application status as there is no self-serve capability and there is a long wait time for phone enquiries (call answer rate at the CSC is currently 28%) • Legacy systems are unstable, resulting in an average of ~17 hours/ month of unplanned outages[2]	"It takes me 2-3 minutes to enter a refusal for a single application because I need to click through 6 different screens - if I could batch process, I could process 10 applications in under 1 minute" "In 2019-2020, ~35K ATIP requests came from clients seeking a status update on their application. As each request takes an average of 20-30 min to fulfill, that's the annual equivalent of ~6-9 fully dedicated FTEs" "Outages that occur during business hours result in estimated productivity losses of ~$235K[1] per hour"

[1] Productivity losses calculated using FTE count of 3,618, salary cost with EBP, and 210 working days with 5.5 core activity hours/ day. Calculated for outages that occur during Eastern Time business hours (8am – 4pm ET, Monday – Friday), which are assumed to impact ~70% of processing FTEs

[2] IT outages data (2019-21)

Source: Stakeholder interviews, DPM documents from GCDOCS, IRCC data on IT outages (2019-21)

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The technology ecosystem is the source of many pain points (2/2)

	Description
Operational & reputational risks	• Add-on applications and interfaces expose data, with limited controls on who can view and use sensitive personal information • Unstable systems limit information sharing between government departments, hindering enforcement activities by RCMP and CBSA • System failure due to increasing accumulation of technical debt could result in visitors missing flights, Canadians stuck abroad, delays for individuals in dangerous situations seeking asylum, etc.
Lack of agility to implement policy changes	• Virtually all program changes are now IT reliant and require significant time and effort to implement • Large system updates are limited to 3 per year (modern technology platforms enable daily promotions / updates) • Annual IT support costs of ~$25M[1] is 20%[2] higher than peers and ~50% of total IT Operations budget • Lack of system flexibility make system changes and emerging technologies (e.g., AI) complicated to implement

1. Benefit realization plan in GCDOCS
2. 05/2020 Business case for DPM in GCDOCS

Source: Stakeholder interviews, DPM documents from GCDOCS

Quotes

- "Permissions on regional network drives are reportedly set so that all IRCC staff and Locally Engaged Staff have full access - regional staff can download spreadsheets containing sensitive information on thousands of temporary resident applicants

- "On average, upgrades take 8-10 months to implement once business requirements are defined
- "I heard discussions about the gender X addition for over 3.5 years … we thought we were only adding one button
- "We spend as much keeping the lights on as we do actually building anything

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For example, the inefficient user interface makes processing applications highly manual …

Process an eligibility decision

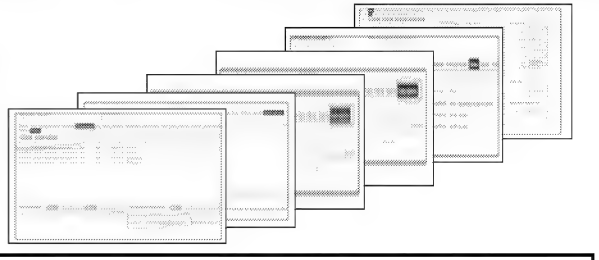
10 screens and 20 clicks

View and enter biographic and biometric information

10 screens and ~60 clicks

Enter a refusal

6 screens and ~25 clicks



Leading practices suggest 2-3 screens and 3-10 clicks based on the complexity of the transaction

Source: Stakeholder interviews, DPM documents from GCDOCS

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… and outages significantly impact IRCC, partners, and other users of IRCC services

~17

Hours of downtime every month (average)

~$235K

Estimated productivity losses per hour of downtime during business hours

15,000+

Cases impacted for each day of downtime; eTA (10K), TRV final decisions (3.5K), PR decisions (1K+), Citizenship grants (1.5K), Asylum (100+), etc.

2,100

Health screening cases approved by GCMS per day

Impact:

- Officers can't process applications
- Call center volumes increase, driving costs up
- Government partners can't access real-time feeds (e.g., CBSA can't validate visa status of entrants)
- Travelers experience issues (e.g., on June 30 2019, 235 people missed flights as GCMS could not issue eTAs)
- Public support and confidence in IRCC's ability to responsibly manage migration is eroded

Source: Stakeholder interviews, DPM documents from GCDOCS, IRCC data on IT outages (2019-21)

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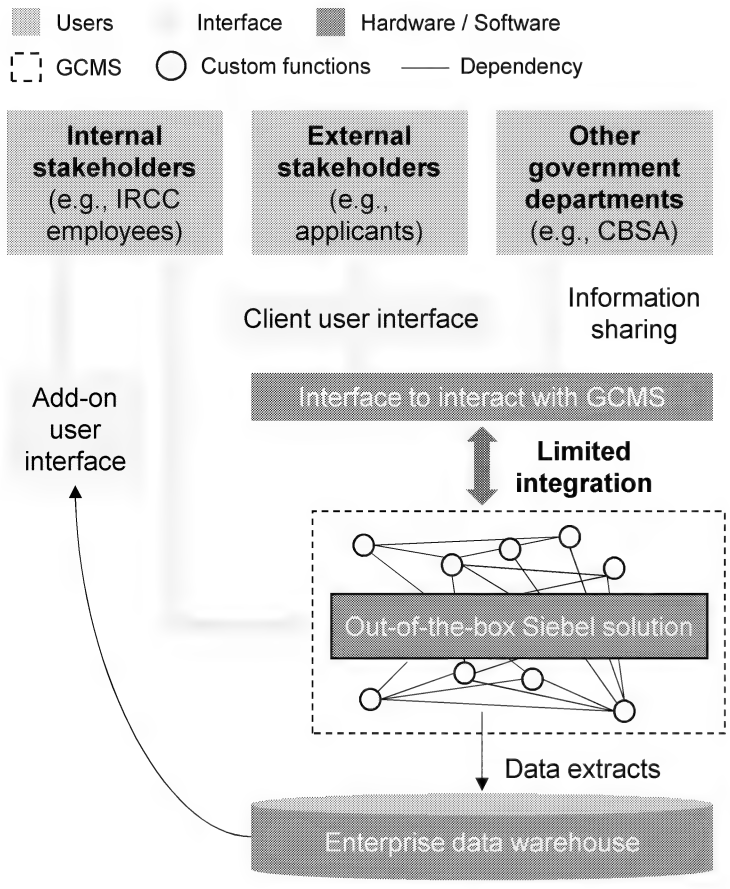
The current architecture of the GCMS ecosystem makes it challenging to address these pain points …



	Description	Examples
Highly customized solution with technical debt	• Significant technical debt has accrued due to customized business functions	• Sub-optimal solutions developed within urgent timelines increase complexity and make system maintenance more difficult
Legacy monolith	• There is a long delay to make any change because for all new updates, the whole system must undergo rigorous testing; in addition, manual testing often results in integration issues	• For CBSA warrant cancellation functionality, testing took 13 days compared to 27 days in total to implement the change request
Limited integration	• Connectivity to other systems and partners is limited, hindering information exchange	• Future capabilities (e.g., APIs to provide real-time updates and self-service) are limited
Add-on user interfaces cause data privacy risk	• IRCC officers use Chinook, an add-on user interface, for efficiency and to batch process temporary resident (TR) applications outside GCMS	• Chinook stores data on regional network drives, enabling staff to access sensitive information on thousands of TR applicants
Not designed to be mission-critical	• GCMS was originally built using technologies from ~1990-2000 to support 9 to 5 operations for a single department	• GCMS currently supports 24/7 operations, other government departments (e.g., CBSA) and third parties (e.g., airlines)

Source: Stakeholder interviews, DPM documents from GCDOCS

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… as well as to evolve the technology ecosystem so that it can enable IRCC's vision to increase the value it delivers

Future state would enable:

Delivering a world class client experience	*… and meeting the rising need to deliver digital client services*
Achieving operational excellence	*… enabling us to consistently meet and exceed level targets*
Enhancing program integrity	*… to ensure we maintain our commitment to Canadians*

Operations

- Breaks the dependency between rising volumes and required additional FTE, relieving the growing pressure on our Operations colleagues

Strategic and Program Policy

- Enables our department to more nimbly and proactively implement policy innovations - reaching the client faster

Corporate Services

- Reduces system and development maintenance costs

Settlement and Integration

- Improves connectivity with settlement partners to help integrate newcomers (e.g., by facilitating data exchange with housing and socio-cultural associations)

Transformation and Digital Solutions

- Reduces system outages
- Enables an ecosystem of information sharing with our partners

Source: Stakeholder interviews, DPM documents from GCDOCS

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IRCC's Digital Transformation proposes to address existing pain points to enable IRCC to meet strategic priorities

VISION ***"To become the world leader in migration in order to maximize the benefits of our programs for our clients and for Canadians."***

STRATEGIC PRIORITIES

1. **Deliver a world class client experience**
2. **Drive operational excellence**
3. **Enhance program integrity**

WHAT THIS LOOKS LIKE

Enabling a 360° view of clients to transition from an application-based journey to a client-centred journey

Increasing overall efficiency by processing more applications faster while maintaining cost

Reducing fraud to deliver the right services to the right person and operate as a trusted partner

Processing correctly on the first attempt to reduce the rework

DELIVERED THROUGH:

Digital Factory (Journey Labs)

Re-design client journeys to deliver modern, reliable, and innovative digital services to current and future Canadians

Enabled by…

Digital Platform Modernization

De-risk existing systems and transition to a modernized digital platform to provide the technology and advanced thinking that assures IRCC's future and enables the business transformation

Source: Stakeholder interviews, DPM documents from GCDOCS

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DPM's objective is to stabilize the technology ecosystem while enabling the deployment of new digital services

DPM enables 2 core objectives:

	RUN	REIMAGINE
DPM enables	*Lights don't go out as often* Enables IRCC to improve day-to-day operations and is a dependency to be able to reimagine (Phase 3)	*Lights shine brighter* Enables IRCC to build and realize the full benefits of new digital solutions by removing the restrictions of archaic systems
Benefits	**Stabilize the system** with fewer outages and improved deployment **Achieve additional benefits from Digital Labs** and other applications **Enable more consistent service** as IRCC transitions to the reimagine phase	**Build new** and improved **capabilities** **Increase responsiveness** to policy innovation **Increase flexibility** by building capabilities externally to free critical system capacity Unlock **operational and client experience excellence**
Addressed in	**Phase 1 and 2**	**Phase 3**

To ensure success, the DPM programme needs to be business-led and supported by IT

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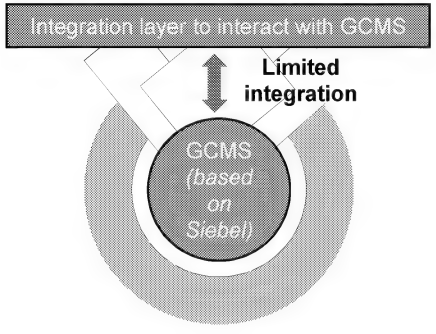
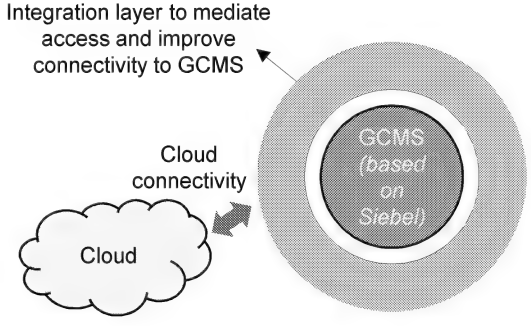
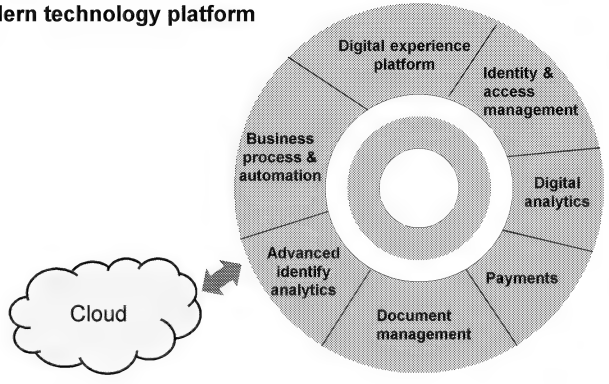
Digital Platform Modernization (DPM) is a three-phased approach to upgrade IRCC's technology ecosystem

X Details in appendix

	Run current operations while paving the path to reimagine		Fully reimagine the future of immigration
	1 Stabilize (~$60M)[1]	2 Standardize (~$70M)[1]	3 Enhance (~$830M)
Activities	• **Business process optimization:** Launch 3 - 4 Journey Labs in each phase • **Technical debt reduction:** Transition to a hybrid integration platform, upgrade Siebel to latest version, adopt new ways of working, enhance security, standardize releases and deployments, establish environments beyond DR, and upgrade solution components • **Cloud Adoption and Enterprise Connectivity:** Establish cloud connectivity		• **Modernize the GCMS ecosystem** (e.g., governance, ways of working, etc.) • **Build digital capabilities** across the organization (technical and business) • Launch **remaining Journey Labs**
Benefits	• Improve client / employee experience through Journey Labs (e.g., MyAccount to provide status visibility to applicants) • Reduce outages to support day-to-day operations in the near term • Alleviate integration limitations to improve connectivity to GCMS • Increase speed of deployment and free up critical system capacity with cloud connectivity		• Deliver connected, personalized user experiences • Achieve operational excellence driven by automation and analytics • Improve digital maturity of organization to realize full benefits of transformation • Evolve operating model to maximize value for Canada
Example	**Data centre with disaster recovery capabilities**	**Hybrid integration platform and cloud capabilities**	**Modern technology platform**







1 As of Treasury Board Submission and relevant materials in GCDOCS as of April 2021

Source: DPM documents from GCDOCS, Gartner diagnostic

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DPM will drive four key objectives for IRCC

Benefit not realized | Benefit partially realized | Majority of benefit realized

Objective	Benefits	DPM benefits realized (cumulative): After Phases 1 & 2	DPM benefits realized (cumulative): After Phase 3
Deliver a world class client experience	Improve client experience	Benefit partially realized	Majority of benefit realized
Achieve operational excellence	Achieve operational efficiencies	Benefit partially realized	Majority of benefit realized
	Achieve IT efficiencies	Majority of benefit realized	*TBD; depends on end-state*
	Improve stability	Majority of benefit realized	Majority of benefit realized
	Improve program responsiveness	Benefit partially realized	Majority of benefit realized
	Increase employee engagement	Benefit partially realized	Majority of benefit realized
Enhance program integrity	Improve quality of decision making	Benefit partially realized	Majority of benefit realized
	Manage reputational risks	Majority of benefit realized	Majority of benefit realized
Enable the IRCC operating model of the future	Enable new business and technology capabilities	Benefit partially realized	Majority of benefit realized
	Enhance ecosystem of information sharing	Benefit partially realized	Majority of benefit realized

Benefits in this section will represent all benefits after Phase 3

Source: Stakeholder interviews

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DPM Phase 3 will enable the full realization of identified benefits across IRCC's key objectives (1/2)

X Details in appendix
X Details to follow

	Benefit	Description	How DPM enables this benefit
Deliver a world class client experience	1 **Improve client experience**	• Provide intuitive and personalized digital experiences, seamlessly transition clients through different phases in their lifecycle, and reduce client-felt wait times to **compete globally for top talent across all sectors**	• Enable API-led connectivity (e.g., connecting data to applications) to facilitate the redesign of client journeys and increase transparency with self-serve capabilities • Remove data silos to provide a 360° view of the client lifecycle • Increase adherence to service standards and/or improve service standards through employee process improvements
Achieve operational excellence	2 **Achieve operational efficiencies**	• Increase throughput and break the link between rising levels and FTE count to **fulfill increasing targets while maintaining operational costs**	• Enable API-led connectivity to implement application processing improvements for employees, reduce client enquiries and ATIP requests on application status through self-serve capabilities and facilitate the redesign of E2E digitalized client journeys
	3 **Achieve IT efficiencies**	• Reduce development and maintenance costs to **incur IT cost savings**	• Upgrade to a more modern technology platform to reduce legacy knowledge and effort required for development and maintenance
	4 **Improve stability**	• Increase system availability to **improve productivity for IRCC and its partners**	• Upgrade to latest version of Siebel to increase system reliability and reduce GCMS-driven outages • Establish cloud connectivity to free up critical system capacity
	5 **Improve program responsiveness**	• Increase speed to market to **expedite implementation of critical changes** • Increase agility and flexibility of organization to **adapt to unforeseen future needs**	• Standardize build processes, improve testing, and automate code deployment to increase frequency of releases • Establish additional connectivity (e.g., Cloud) to enable LOBs to deploy customized solutions, increasing speed to market • Implement a modular platform that evolves as its scope changes
	6 **Increase employee engagement**	• Increase time spent on high value work and build digital capabilities to **boost employee morale and productivity**	• Implement process improvements for employees that increase time spent on high value work • Build digital capabilities across the organization (e.g., culture, governance, information) to empower employees at all levels

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DPM Phase 3 will enable the full realization of identified benefits across IRCC's key objectives (2/2)

X Details in appendix

	Benefit	Description	How DPM enables this benefit
Enhance program integrity	7 **Improve quality of decision making**	• Reduce fraud and increase rigour of decision making to **deliver the right services to the right person**	• Enable support for new capabilities (e.g., advanced analytics) to highlight relevant decision factors and identify inconsistencies in applications to improve fraud detection
	8 **Manage reputational risks**	• Reduce risk of data breach to **protect sensitive personal information** • Reduce system failure risk given accrued technical debt to **maintain public image**	• Implement security enhancements to enable privacy and data protection and improve ability to transfer information securely • Reduce technical debt to mitigate catastrophic consequences of system failure
Enable the IRCC operating model of the future	9 **Enable new business and technology capabilities**	• Unlock new capabilities (e.g., advanced analytics, self-service, omni-channel service) to **enable IRCC to achieve its strategic vision to maximize value for Canada**	• Implement additional technology capabilities in the future-state digital platform that enable desired business objectives
	10 **Enhance ecosystem of information sharing**	• Enable seamless data exchange with GCMS to **improve connections with existing partners and expand the ecosystem** • Integrate information across silos to enable a unified view in both GCMS and the modernized technology platform, **unlocking new client insights and identifying process improvements**	• Enable API-led connectivity to increase integration with partners and facilitate access to IRCC data, which partners can leverage to provide services to clients • Improve data architecture and governance to remove existing silos and ensure seamless data exchange moving forward

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Operational excellence will deliver the equivalent of ~$140M of additional capacity

Phases 1& 2 | Phase 3
Details in appendix

Benefit	Key performance indicators	From	To	Annual value of opportunity, $M
2 Achieve operational efficiencies	a Increase officer capacity by reducing active processing time	**PR-SCLP:** ~250 min **CIT:** ~200 min **TRV:** ~25 min	**PR-SCLP:** ~175 min **CIT:** ~100 min **TRV:** ~5 min	70 / 53
	b Reduce time spent on ATIP requests	~36K requests[1]	~18K requests	<0.5
	c Reduce time spent by the CSC on client enquiries	~1.5M phone enquiries[1] ~467K email enquiries[1]	~0.8M phone enquiries ~235K email enquiries	2 / 7
3 Achieve IT efficiencies	Reduce IT development costs	~$25M/ year	*N/A; will depend on end-state*	N/A
	Reduced infrastructure-related support costs	~$25M/ year	*N/A; will depend on end-state*	N/A
4 Improve stability	a Reduce system downtime	~280 hrs/ year	< 10 hrs/ year	2 / 7
Total benefit	~$140M in annual benefits achieved across all three phases of DPM			84 / 57

[1] Represents number of ATIP requests and phone/ email enquiries related to status updates

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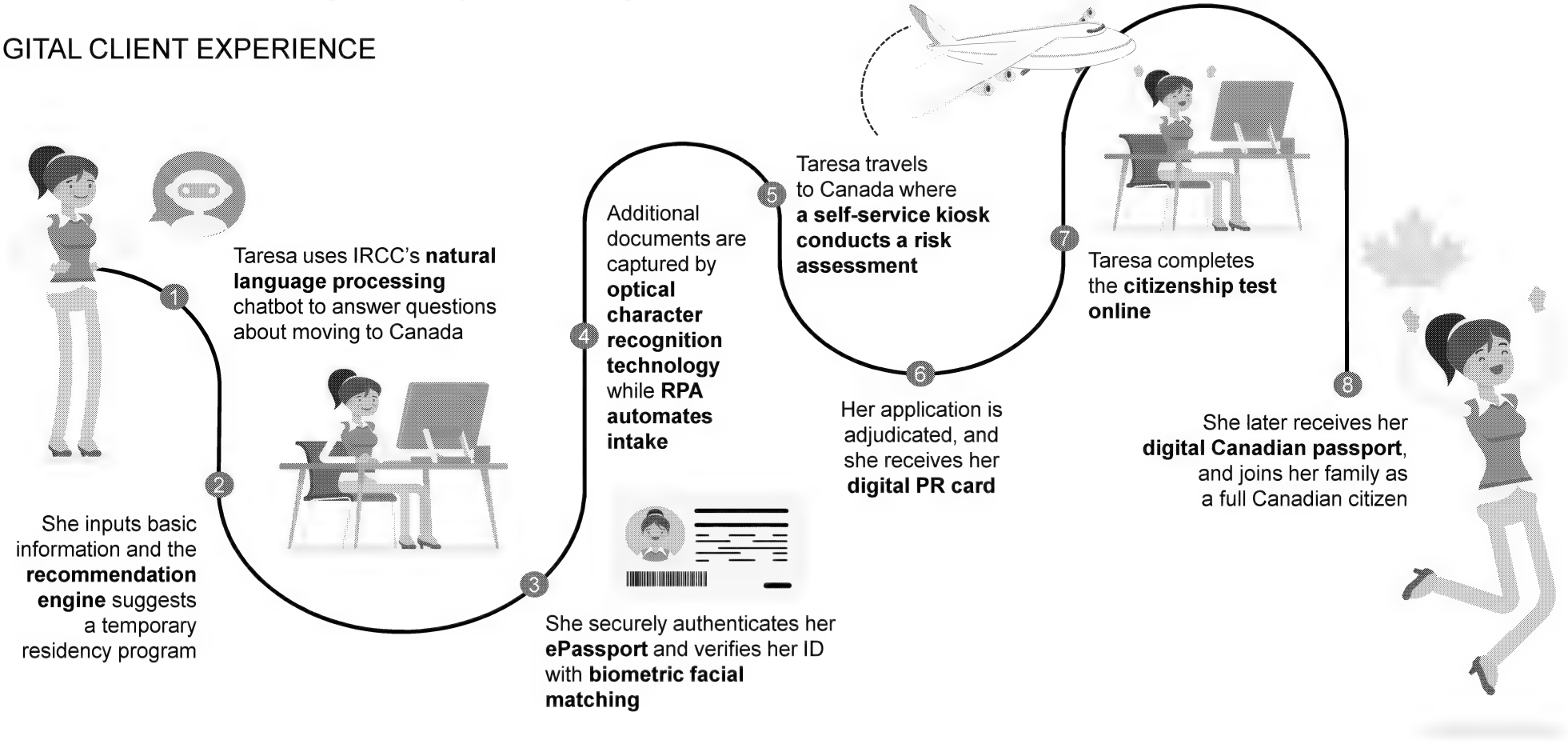
DPM Phase 3 will deliver additional capabilities that will enable further redesign of journeys …

DIGITAL CLIENT EXPERIENCE



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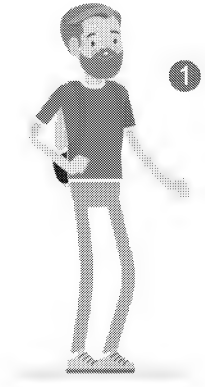
… and enable clients to seamlessly transition through different phases in their lifecycle

CLIENT-CENTRIC JOURNEY



1 STUDY PERMIT

Yasir gets accepted to one of the top schools in Canada. He wants to study there as an international student so he applies for a study permit

3 PERMANENT RESIDENT

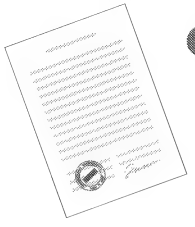
Yasir receives his temporary work permit and uploads his offer of permanent employment. He is notified that he is eligible to apply under the Federal Skilled Worker Program and reviews his pre-filled application before submitting it

5 PASSPORT

Yasir's citizenship application is approved. After his ceremony, he receives an email from IRCC asking if he wants a passport. He opts in and reviews his pre-filled application before it's digitally submitted to the passport office

2 WORK PERMIT

Yasir receives his study permit and moves to Canada for school. Upon graduation, he applies for a work permit, auto-populating his application with the information he submitted for his study permit



4 CITIZENSHIP

Yasir is now a Canadian permanent resident! Years later, he gets an email from IRCC informing him he's reached citizenship eligibility. He reviews his pre-populated application, imports additional information from CBSA on his travel history, and submits his application

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In addition, Phase 3 will provide a platform that enables new capabilities to allow IRCC to reimagine the art of the possible

Illustrative example – Advanced analytics

Use case	Details
Improve fraud detection	Highlight relevant decision factors to assist officers in identifying fraud, improving the quality and consistency of decisions
Identify applicants to fill critical labour shortages	Use algorithms to search through large volumes of client applications to identify specific skills to support Canada's economic growth
Understand lifecycle of clients	Proactively notify clients to support their progression through different phases in their lifecycle (e.g., automatically reach out to permanent residents when they meet eligibility criteria for citizenship)
Predict volumes	Use predictive analytics to support the Strategic and Program Policy team in designing program changes and enable officers to manage workload, improving employee experience
Recommendation engine to match clients with programs	Use algorithms to recommend programs to applicants based on their profile, simplifying the "discovery" portion of the application and ensuring services and processes are accessible and user-friendly
Personalize application fields for clients	Use artificial intelligence to implement dynamic digital applications, with fields tailored to specific client situation (e.g., applicants aged 55+ may not need to meet language and knowledge requirements)

Source: Stakeholder interviews

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Research by McKinsey and Oxford University highlighted that most large IT programs have cost and schedule overruns, with duration being the biggest driver of program risk

IT projects often run over cost and time; longer projects are riskier than costlier ones

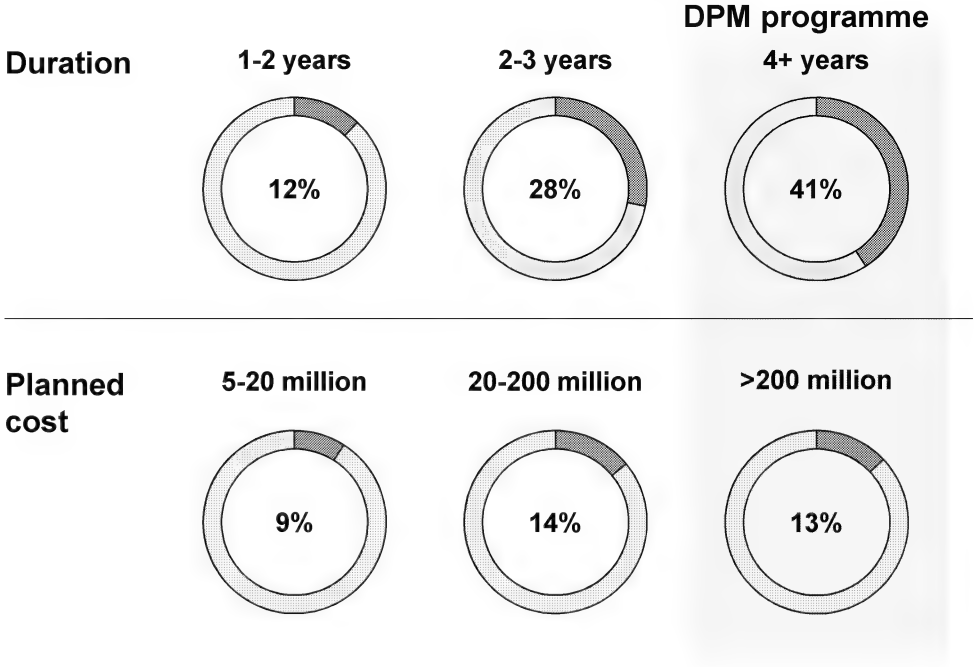
Large IT programs often fail to deliver on their plan

64% of projects exceed cost estimates by an average of 78%

78% of projects exceed schedule estimates by an average of 35%

Program risk goes up significantly with duration, but not cost

Shaded blue portion of the circle represents the X% inside the circle



Source: McKinsey and Oxford University research on root causes of project failure across more than 5,000 projects

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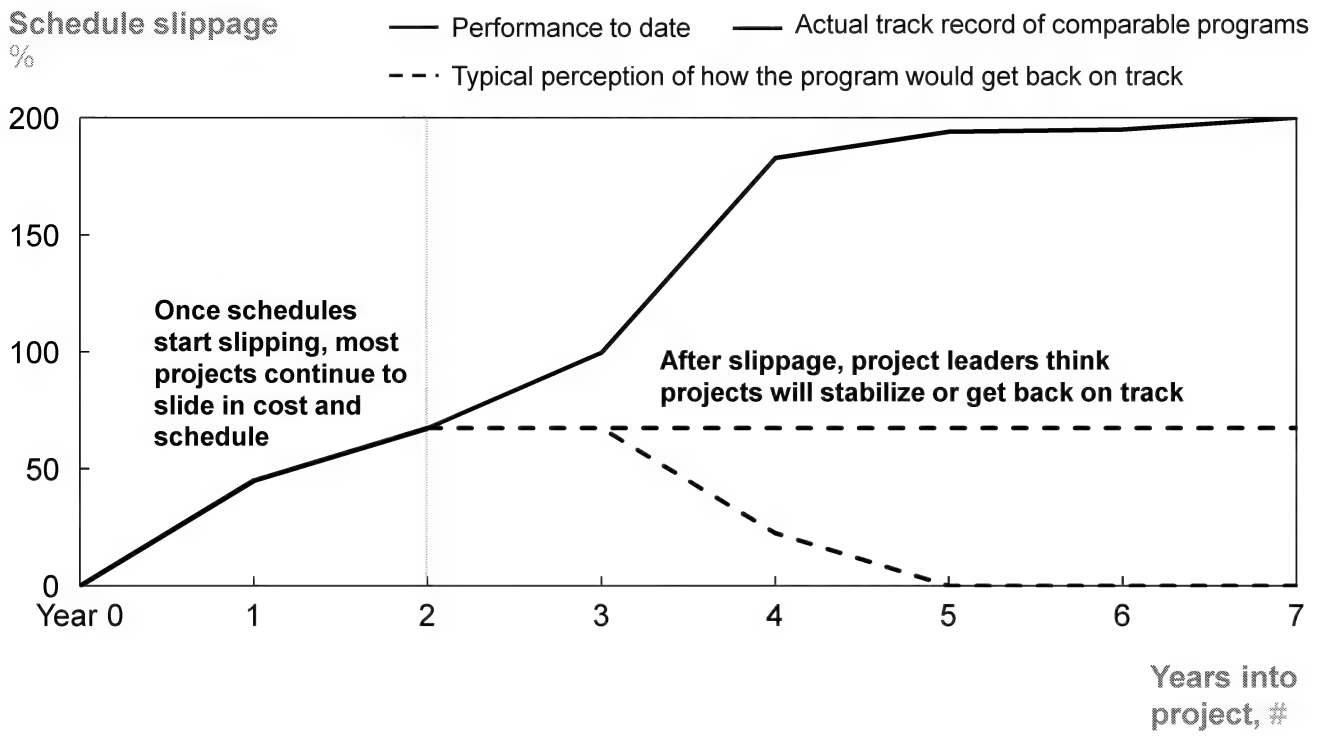
Early course correction is critical as risks only continue to accumulate over the project lifecycle

Projects are often unable to recover from early slippage



Source: McKinsey and University of Oxford

One key research finding is that **projects are often unable to recover from early schedule slips** or cost overruns

- McKinsey and University of Oxford examined the performance of more than 2,000 IT projects
- Based on performance of similar projects, total cost and schedule overrun can be projected

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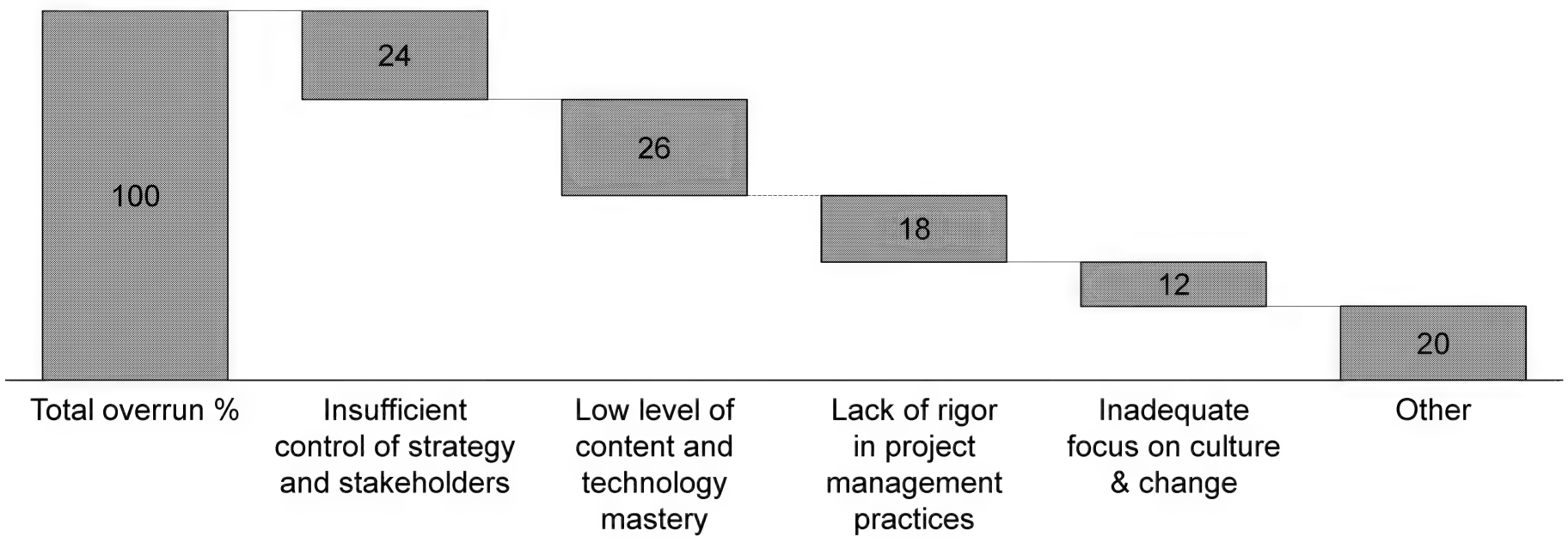
Four failure modes drive the majority of cost and schedule overruns for large IT programs

Cost and schedule overrun disaggregation

Percent

University of Oxford
BT Centre for Major Programme Management
Saïd Business School



Peer learnings identified 4 key success factors to help mitigate cost and schedule overruns *(see next page)*

Source: McKinsey Oxford Reference Class Forecasting for IT Projects Study

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An in-depth review of digital platform modernization efforts realized by peers identified 4 key success factors

Strategy

1. Vision & strategy
Align stakeholders on prioritized objectives and a clear future-state visualization

2. Value drivers & cost
Quantify value and cost of use cases and capabilities, directly linked to the business case

3. Product roadmap
Sequence and execute the product and architecture roadmaps

Technology

4. Client experience & design inputs
Define client journeys and requirements based on human-centered design

5. Platform & data architecture
Design and implement a modern architecture, starting with a minimum viable product (MVP)

6. Vendor strategy & management
Design and execute sourcing strategy and vendor relationship management

Governance

7. Program management & governance
Establish agile control tower to oversee and enable efficient delivery

8. Talent planning & capability building
Assemble or build needed skills to execute the program and maximize value realization

Adoption

9. Operations & management
Transition to future-state operating model, supported by changes driven by the transformation (e.g., new business processes)

10. Culture & change management
Incorporate change management across the organization and build a culture of continuous learning

Planning → **Execution**

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To maximize benefits from DPM, IRCC should address the following elements (1/3)

Not defined | Partially defined | Fully defined

	Prerequisites	What good looks like	Assessment of IRCC readiness: Phases 1 & 2: Stabilize and Standardize	Assessment of IRCC readiness: Phase 3: Enhance
Strategy	**Vision & strategy**	Stakeholders are aligned on "north star"; strategic focus areas, objectives, and future-state link to vision	Strategic focus areas and objectives have been defined, along with future-state client journey (for in-flight Digital Labs) and architecture	Future-state client journeys and architecture are unclear; overarching strategy has not been clearly communicated
	Value drivers & cost	Benefits realization plan estimates financial value to right-size investment levels and tracks progress against targets to ensure ongoing value delivery	Expected outcomes have been defined but benefits realization plan needs to be refined with timelines and estimated financial value; costs are defined for different workstreams	Benefits realization plan needs to be refined with timelines and estimated financial value; high-level costs have only been defined via outside-in industry benchmarking
	Product roadmap	Desired capabilities clearly connect to future-state to inform prioritization, with activities linking to capabilities and benefits	List of desired capabilities has been defined but is not clearly linked to future-state; activities are not clearly linked to capabilities or benefits	Desired capabilities are not clearly linked to future-state; activities to be defined during detailed planning; stakeholders to be identified and assigned

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To maximize benefits from DPM, IRCC should address the following elements (2/3)

Not defined | Partially defined | Fully defined

	Prerequisites	What good looks like	Assessment of IRCC readiness: Phases 1 & 2: Stabilize and Standardize	Assessment of IRCC readiness: Phase 3: Enhance
Technology	**Client experience & design inputs**	Client journeys are aligned to the end-state and overall organizational vision	Business process optimization (Digital Labs) deliver reimagined client journeys	To be further defined as additional Digital Labs are launched
Technology	**Platform & data architecture**	A modern end-state architecture is designed; implementation starts with a minimum viable product	End-state architecture stabilizes systems and serves as an off-ramp solution if IRCC does not proceed with Phase 3	End-state architecture not yet defined
Technology	**Vendor strategy & management**	Sourcing strategy is not overly reliant on vendors, who may have competing incentives	Vendors have been tasked with managing different workstreams	In process of determining procurement approach and plan

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To maximize benefits from DPM, IRCC should address the following elements (3/3)

Not defined | Partially defined | Fully defined

	Prerequisites	What good looks like	Assessment of IRCC readiness: Phases 1 & 2: Stabilize and Standardize	Phase 3: Enhance
Governance	**Program management & governance**	Program management structure, decision-making approaches and escalation paths, and standard program processes are established	Each workstream (Technical Debt Reduction, Cloud Adoption and Connectivity, and Digital Labs) has a lead, but decision-making approaches and escalation paths are unclear	IRCC needs to clearly define the strategy and technology in its future-state before mobilizing against the execution
Governance	**Talent planning & capability building**	People decisions are made based on data, talent program is part of business strategy, and a talent culture is created and prioritized	Although a human resources strategy has been defined, there are no clear milestones or indicators of success to ensure IRCC is recruiting talent and building the required capabilities	
Adoption	**Operations & management (O&M)**	O&M has shifted from traditional app maintenance, IT ops, and infrastructure support to be prerequisites for success	Detailed planning to be conducted	
Adoption	**Culture & change management**	Change management is incorporated across the organization, along with a culture of continuous learning	Although there are FTEs dedicated to change management in IRCC and within the DPM programme, there is no clear operating model guiding how these groups collaborate	

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Proposed next steps to address gaps in DPM programme

Phases 1 & 2

- **Program management & governance:** Centralize and increase effectiveness of DPM programme governance (e.g., simplify current program management structure and engage stakeholders appropriately)
- **Value drivers & cost:** Refine benefit realization plan to define measurements of success for all workstreams (e.g., cloud connectivity) and size opportunities to prioritize deliverables
- **Product roadmap:** Refine DPM and Digital Labs roadmaps to minimize dependencies and add milestones to iteratively deliver on expected outcomes (e.g., reduce system downtime to 100 hours, then 50)
- **Vendor strategy & management:** Assess internal capabilities to identify where vendor support is needed (e.g., ensure requirements are owned internally, while build may be outsourced to a system integrator)

Phase 3

- **Vision & strategy:** Define IRCC's vision, strategic objectives, and target operating model for Phase 3 (including target state client journeys and business and technology capabilities required to enable them)
- **Value drivers & cost:** Develop a benefits realization plan that clearly links investments to expected benefits, and right size the scope and level of investment accordingly
- **Product roadmap:** Define the target state architecture for the technology ecosystem that will deliver the required business and technology capabilities

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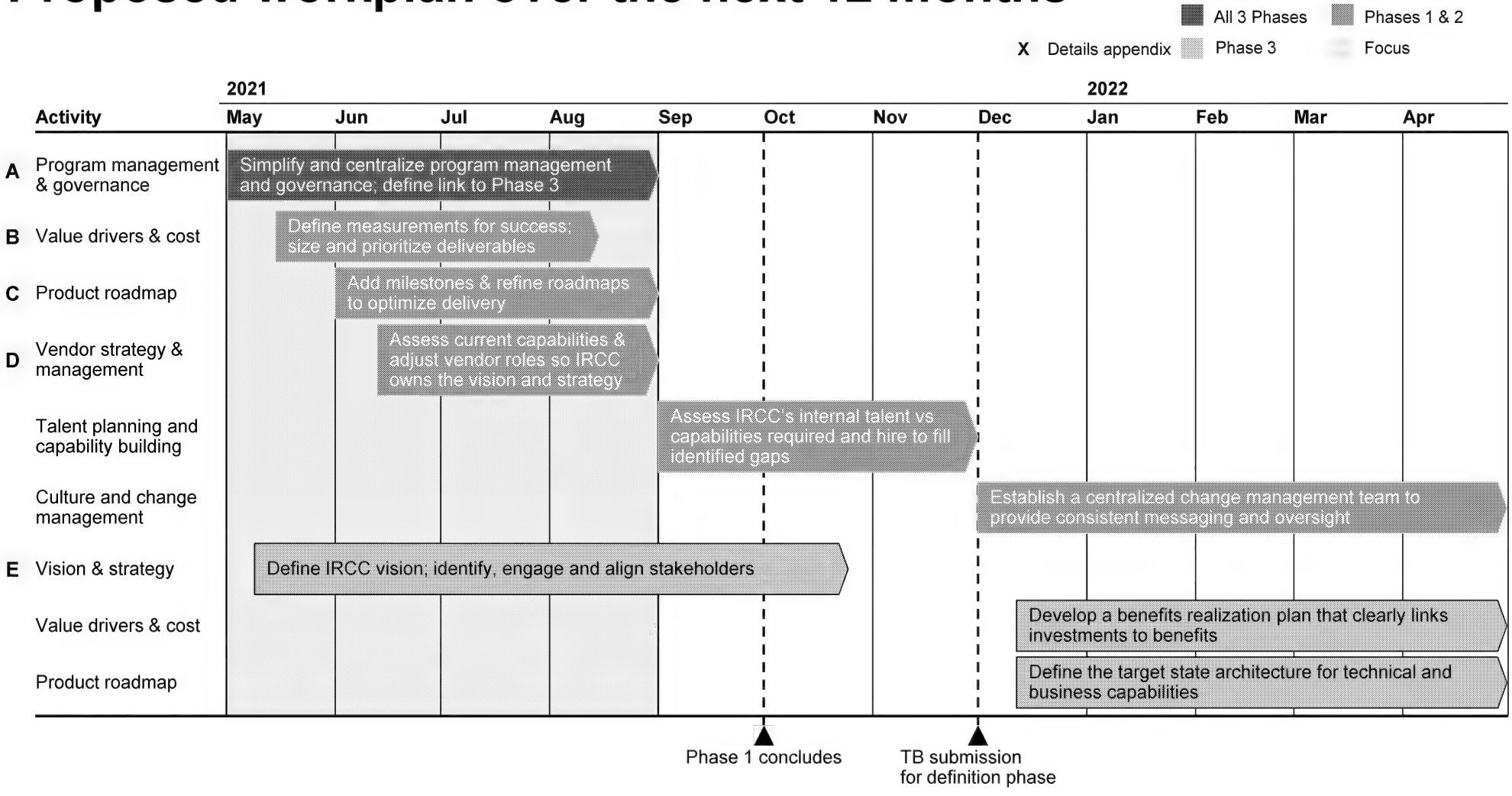
Proposed workplan over the next 12 months



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Glossary

API	Application Programming Interface (allows two applications to talk to each other)
ATIP	Access to Information and Privacy
CBSA	Canada Border Services Agency
CIT	Citizenship
CSC	Client Support Centre
CSIS	Canadian Security Intelligence Service
DPM	Digital Platform Modernization
DR	Disaster Recovery
ESDC	Employment and Social Development Canada
eTA	Electronic Travel Authorization
FTE	Full Time Equivalent (employee)
GAC	Global Affairs Canada
GCDOCS	Government of Canada's electronic document and records management system
GCMS	Global Case Management System
IRB	Immigration and Refugee Board of Canada
IRCC	Immigration, Refugees and Citizenship Canada
IRIS	Integrated Retrieval Information System (legacy system for Passport program)
LOB	Line of Business
MVP	Minimum Viable Product
PMO	Program Management Office
PR	Permanent Resident
PR-SCLP	Permanent Resident- Spousal or Common-Law Partner
RCMP	Royal Canadian Mounted Police
RPA	Robotic Process Automation
TRV	Temporary Resident Visa

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Peer example: A US State modernized its integrated eligibility systems for 58 entities

Context and objective

California had to modernize its county-based case management system for benefits eligibility and enrollment in social safety net programs, and consolidate from 3 disparate systems into a single statewide system across 58 counties

- ~$350M annual maintenance / operations spend; overall annual spend ~$1B
- Supported by 2 legacy vendors with high degree of lock-in and influence

What they did differently

Managing strategy	**Developed a rigorous fact base for negotiations with system integrators**
	Analyzed integration pathways and developed options, timelines and sequences for delivering on state and federal priorities
Mastering technology and delivery	**Developed cost models** for developing and operating the consolidated system • Developed non-functional requirements taking into account State's technology landscape as well as relevant executive directives
Organizational change	**Built tech capabilities to instill modern development practices**
	Designed change management models and implementation sequences • Performed detailed county visits and documented key business transitions
Program management	**Drove value assurance to ensure value-driven decisions on vendors, architecture and scope** • Designing pilot effort to finalize cloud architecture and de-risk performance issues

CalSAWS

Results

Aligned strategy and vision
(e.g., single eligibility system across the state, hosted on the cloud)

Detailed business plan
(e.g., identified ~$150M of annual savings; developed rigorous fact base for negotiations w/ solution integrators, locking in rates that were 30-35% lower than anticipated)

Syndication and agreement
(e.g., aligned federal, state and county stakeholders on ~120 truly differentiating innovations to drive value)

Multi-year implementation kicked off, with vendor selected for the transition period, **and cloud pilot with Amazon Web Services (AWS) and solution integrator**

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Peer example: A public institution coordinated 50+ agencies in an at-scale platform modernization effort

Context and objective

Peer organization in the US ($60B+ spend) with 50+ agencies, 200+ individual financial reporting systems, and 100+ human resources (HR) systems wanted to move towards an integrated enterprise resource planning (ERP) solution

Several prior attempts at moving to an integrated ERP platform had failed or stalled at the solution design stage

What they did differently

Managing strategy	**Developed implementation strategy and approach** **Set the vision and financial fact base / business case**
Mastering technology and delivery	Developed overall approach for process and data management vendor, business and technology roadmap: • Set up vendor ecosystem and roll out methodology • Worked with stakeholder to understand business needs and change impact • Aligned on design and deployment methodology
Organizational change	**Designed change management models and implementation sequences**
	Led organizational change management and launched podcasts, interactive newsletters, and video blogs
Program management	**Defined and stood up overall program governance** and change control Set up an integrated **model of working with internal and solution integrator teams**

Results

Brought on 50+ agencies onto a single ERP system covering more than 90% of the budget

Created a new foundation for Illinois IT to build on, allowing for more insightful and secure methods for process and data management

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Phases 1 & 2 optimize business processes, reduce technical debt, and implement cloud adoption and connectivity

AS OF APRIL 2021

DPM phase	Activities	
1 **Stabilize: ~$60M**	Business Process Optimization **~$15M**	• Launch Journey Labs (i.e., MyAccount, Work Permit, PR-Family Class)
	Technical Debt Reduction **~$29M**	• Plan an API gateway to transition to a hybrid integration platform • Begin upgrading Siebel from the 2016 version to the 2020 version
	Cloud Adoption and Enterprise Connectivity **~$16M**	• Establish a Cloud Services Program (Centre of Excellence) to centralize and coordinate cloud adoption
2 **Standardize: ~$70M**	Business Process Optimization **~$20M**	• Launch additional Journey Labs (i.e., Study Permit, eTA, PR- Economic Class, Digital Intake)
	Technical Debt Reduction **~$28M**	• Migrate services to hybrid integration platform and decommission legacy infrastructure • Complete Siebel upgrade • Adopt new ways of working to increase agility of the organization • Implement security enhancements (e.g., encryption, privileged account management) • Standardize build processes, improve testing, and automate deployments • Create different environments (e.g., staging, performance) beyond disaster recovery • Upgrade aging software and frameworks (e.g., tooling, agile/ hybrid workflow)
	Cloud Adoption and Enterprise Connectivity **~$24M**	• Finalize enterprise cloud adoption (e.g., strategy, workflows, human resources) • Finalize connectivity between the enterprise and public cloud services

Source: Stakeholder interviews, DPM documents from GCDOCS

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Phase 3 focuses on technological and organizational change to deliver connected, integrated, and digital experiences

AS OF APRIL 2021

DPM phase	Activities	
3 **Enhance: ~$590M** **+ $50M programme management** **+ $190M contingency** **= ~$830M**	Business Process Optimization **~$35M**	• Launch remaining Journey Labs (i.e., Temporary Resident Extension, International Experience Canada, Refugee, PR Card, Settlement, Proof of Citizenship, Passport)
	Technical Digital Platform **~$310M**	• Finalize scope of desired capabilities of the future state platform (e.g., digital experience, identity proofing and affirmation, identity and access management, business process management and automation, hybrid integration, data and analytics) • Define and execute on procurement plan and activities • Fully integrate new capabilities and onboard all lines of business onto the new platform

	Digital Opportunities **~$115M**	• Finalize scope of digital readiness opportunities to invest in, including but not limited to:
		  • **Governance:** Increase flexibility of the funding process to align accountabilities
		  • **Culture:** Improve digital fluency across branches to establish an understanding of how digital is intended to support and enable IRCC's objectives
		  • **Business operations:** Facilitate collaboration between IT, Digital, and LOBs to improve cross-enterprise prioritization
		  • **Ways of working:** Improve digital literacy across LOBs and enhance digital capabilities within the workforce to enable the organization to move at scale
		• Implement foundational and functional digital opportunities and business capabilities enabled by the new digital platform

	Partner Integration **~$130M**	• Enable connectivity for government partners on the new platform (e.g., CBSA, ESDC, IRB, GAC, RCMP, CRA)

Source: Stakeholder interviews, DPM documents from GCDOCS

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Phases 1 & 2 connect to Phase 3 by stabilizing and standardizing underlying systems to reimagine immigration

XX Total cost
AS OF APRIL 2021

Activity	Sub-activity	Cost	Carried over to Phase 3?	How this links to Phase 3
Digital Labs $34.3M[1]	Digital Labs	$28.3M	✓	Delivers on MVP and near-term roadmap feature sets that are independent of DPM; after Phase 3, Labs are expected to realize their full potential benefits irrespective of when they were launched
Enterprise Cloud $40.2M[1]	Cloud Adoption	$17.0M	✓	Builds organizational capabilities so that IRCC employees have the governance and digital fluency to build and connect to cloud once connectivity is established
	Enterprise Cloud Connectivity	$11.5M	✓	Enables IRCC to deploy solutions more quickly and free up critical system capacity by hosting applications/ journeys
Technical Debt Reduction $57.0M[1]	TDR Siebel Upgrade	$6.7M	*Unknown; depends on end-state*	Stabilizes GCMS and manages near-term risk while the new platform is built; the upgrade will not carry over if the modernized technical digital platform moves away from Siebel
	TDR Integration Platform	$5.9M	✓	Enhances connectivity so different applications can "talk" to GCMS
	TDR Security	$5.7M	TBD	Enables the privacy and protection of data and applications; will likely have Siebel integration/ dependency
	TDR Environments beyond DR	$5.4M	TBD	Workstream is still being defined; will likely have Siebel integration / dependency
	TDR Ways of Working Org Model	$3.9M	✓	Builds organizational capabilities so that IRCC employees can work in a more agile fashion once the modernized technical digital platform is implemented
	TDR Solution Components	$1.8M	TBD	Workstream is still being defined; will likely have Siebel integration / dependency
Total $131M[1]	**~$20M of the Phase 1 & 2 total cost is potentially lost if we move away from a Siebel platform, but these upgrades provide overall system stability and security as we transition to phase 3**			

[1] Total includes Programme Management, Internal Services allocation, and Contingency

Source: Stakeholder interviews, DPM documents from GCDOCS

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1. Background
2. Case for change for DPM
3. Overview of DPM
4. Benefits from DPM
5. Value assurance assessment

Appendix

1. Background
2. Case for change for DPM
3. Overview of DPM
4. **Benefits from DPM**
5. Opportunities to enhance DPM

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1 DPM improves client experience by reimagining journeys, enabling a 360° view of clients, and reducing wait times

	Description	How DPM enables this benefit
Reimagine client journeys	• Increase transparency for clients by unlocking self-service capabilities so clients can submit and update their own applications, as well as view status • Ensure services and processes are easy for clients to understand	• Unlock self-service by enabling API-led connectivity and/or proactively send clients updates on their application status • Facilitate the redesign of client journeys to deliver intuitive and personalized digital experiences for clients (e.g., implement a recommendation engine to match clients to programs and tailor application fields to each client)
Enable a 360° view of clients	• Enable a unified view of all client interactions with IRCC to offer the best client experience across all service channels • Proactively and seamlessly transition clients through different phases in their lifecycle	• Improve underlying architecture to integrate data from all Client Support Centre touchpoints and applications across lines of businesses; share unified view via an intuitive user interface • Use new capabilities such as advanced analytics to identify when to transition clients between programs (e.g., automatically communicate to permanent residents when they meet eligibility criteria for citizenship)
Reduce waiting times	• Reduce client-felt wait times • e.g., reduce end-to-end client-felt journey by ~20 – 28% for PR-SCLP, ~45 – 65% for CIT, and ~40 – 50% for TRV[1]	• Unlock operational efficiencies for officers by implementing process improvements and increasing system availability • Improve agility and flexibility with a modular platform that evolves to quickly adapt to unforeseen future needs

[1] Estimated one-year roadmap from PR-SCLP, CIT, and TRV Digital Labs journeys

Source: Stakeholder interviews, IRCC Digital Labs diagnostic

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2 There are three different ways for IRCC to capture value from operational efficiencies

Source of efficiency (Digital Labs)

- Improve application processing for employees to streamline information, automate manual processes, and expedite simple tasks
- Unlock self-serve capabilities to reduce ATIP requests and client phone / email enquiries on application status

Efficiencies

=

Creating additional capacity that may be used to …

Capturing value from efficiency

- Increase adherence to service standards and/or improve service standards to improve client experience
- Handle increasing volumes without incurring additional costs to break the link between rising levels and FTE count
- Improve the quality of decision making to enhance program integrity and deliver the right services to the right person

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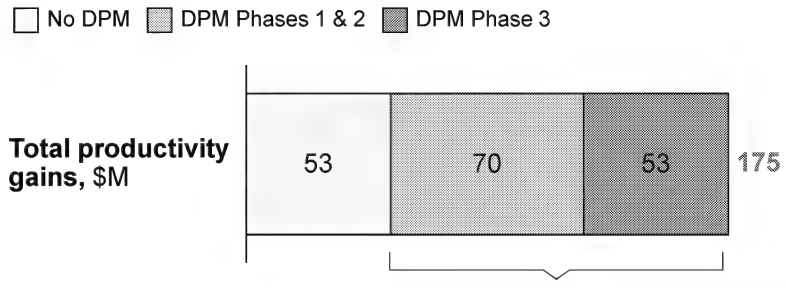
2a Improving application processing could unlock ~$175M/ year of productivity for officers, with DPM unlocking ~$120M

Not included in initial diagnostic	Productivity improvement	Volume[1], K
a Tourist Visa	75-80%	1,900
b Work Permit	70-75%	100
c Study Permit	70-75%	305
d PR- Economic	70-75%	200
e PR- Family Reunification	70-75%	114
f Electronic Travel Authorization	5-10%	3,900
g International Experience Canada	50-55%	70
h Temporary Resident Extension	60-65%	344
i Refugee	10-15%	35
j PR Card	55-60%	385
k Asylum		50
l Settlement		458
m Citizenship	75-80%	130
n Proof of Citizenship	35-40%	55
o Passport		5,100

Total savings in a 12-month period

# of FTEs[2] 6,225 x **Average productivity improvement[3]** ~36% = **Additional capacity**, # FTE ~2,230

Additional capacity, # FTE ~2,230 x **Cost/ FTE[4]** ~$80K/ year = **Total productivity gains** ~$175M



DPM is expected to unlock ~70% of the total potential value from Digital Labs

~$120M in productivity gains achieved with DPM

[1] Estimated number of applications finalized | [2] Number of FTEs in Operations, 2020 | [3] Weighted by volume as productivity is estimated on a per-volume basis
[4] Estimated average total employee compensation for FTE in Operations is $78,993.53

Source: Stakeholder interviews, IRCC Digital Labs diagnostic

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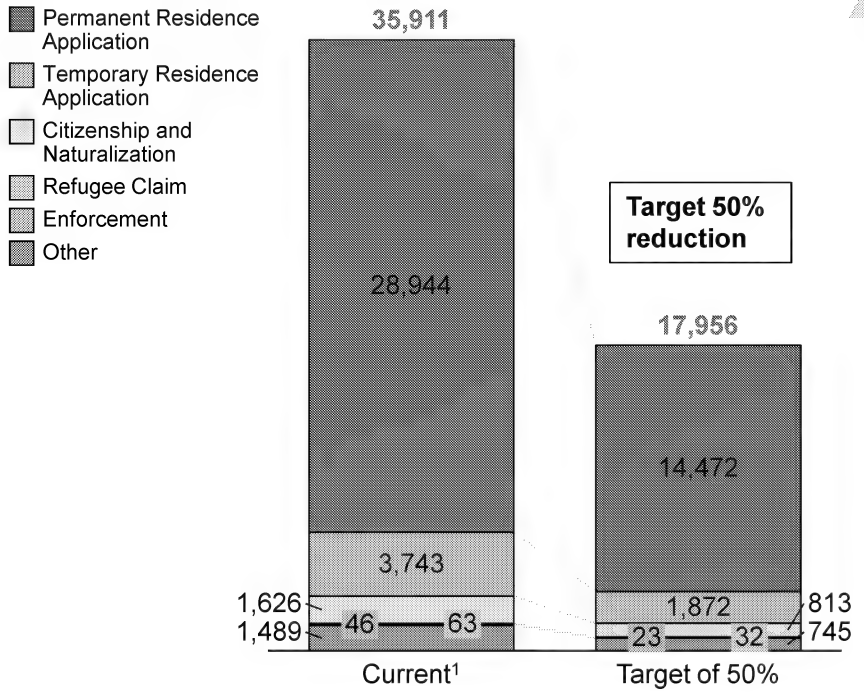
2b Increasing visibility of case status would reduce ATIP requests and unlock ~$450K/ year of productivity gains

Target reduction in ATIP requests by request type, #



Total savings in a 12-month period

Reduction in ATIP requests, #	x	Time per ATIP request, hrs	=	Total time saved, hrs
~18,000		~0.5 (30 min)		~9,000

Total time saved, hrs	÷	Hours worked per FTE[2], #	=	# of FTEs, #
~9,000		~1,155		~7.8

# of FTEs	x	Cost/ FTE[3]	=	Total productivity gains
~7.8		~$60K/ year		~$450K

[1] Number of *In Progress* applications requested under ATIP (2019-20)
[2] Assumes 210 worked days (working days - holidays/sick/training/etc. days) with 5.5 core activity hours/ day
[3] Estimated average total employee compensation for CR04 in Client Experience Branch is $58,594.70

Source: Stakeholder interviews, ATIP data (2019-20)

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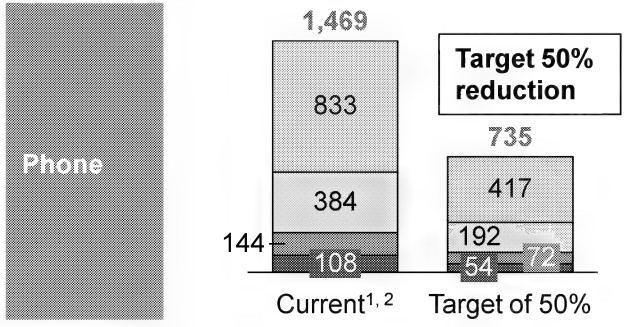
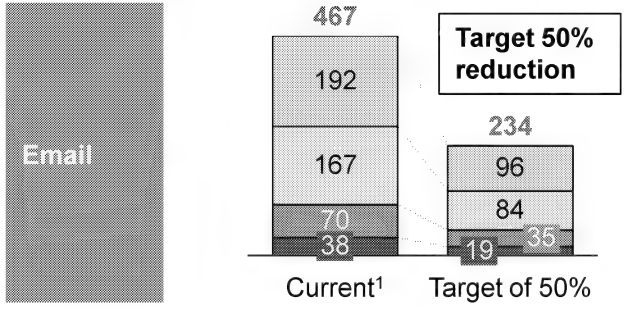
2c Increasing visibility of case status would reduce client enquiries to unlock ~$8.5M/ year of productivity gains

Target reduction in enquiries by request type, #K

Status enquiry (no action) | Status enquiry (action needed)
Verifying information on file | Status enquiry (no file found)





Total savings in a 12-month period

Reduction in enquiries, #		Average handle time[3], mm:ss		Total time saved, hrs
~735,000	x	11:52	=	~145,000
Total time saved, hrs		**Hours worked per FTE[5], #**		**# of FTEs, #**
~145,000	÷	~1,155	=	~125

Reduction in enquiries, #		Average handle time[4], mm:ss		Total time saved, hrs
~234,000	x	5:00	=	~19,500
Total time saved, hrs		**Hours worked per FTE[5], #**		**# of FTEs, #**
~19,500	÷	~1,155	=	~17

Total savings in a 12-month period for phone and email

# of FTEs (total)

~142

x

Cost/ FTE[6]

~$60K/ year

=

Total productivity gains

~$8.5M

[1] Number of enquiries to Client Support Centre in 2019 – 20 | [2] Phone line closed for 9 business days (March 19-31) in 2020 due to Covid-19 | [3] Includes time spent on hold or after call work
[4] Average handle time in 2019 – 20 | [5] Assumes 210 worked days (working days - holidays/sick/training/etc. days) with 5.5 core activity hours/ day
[6] Estimated average total employee compensation for CR04 in Client Experience Branch is $58,594.70

Source: Stakeholder interviews, Client Support Centre data (2019-20)

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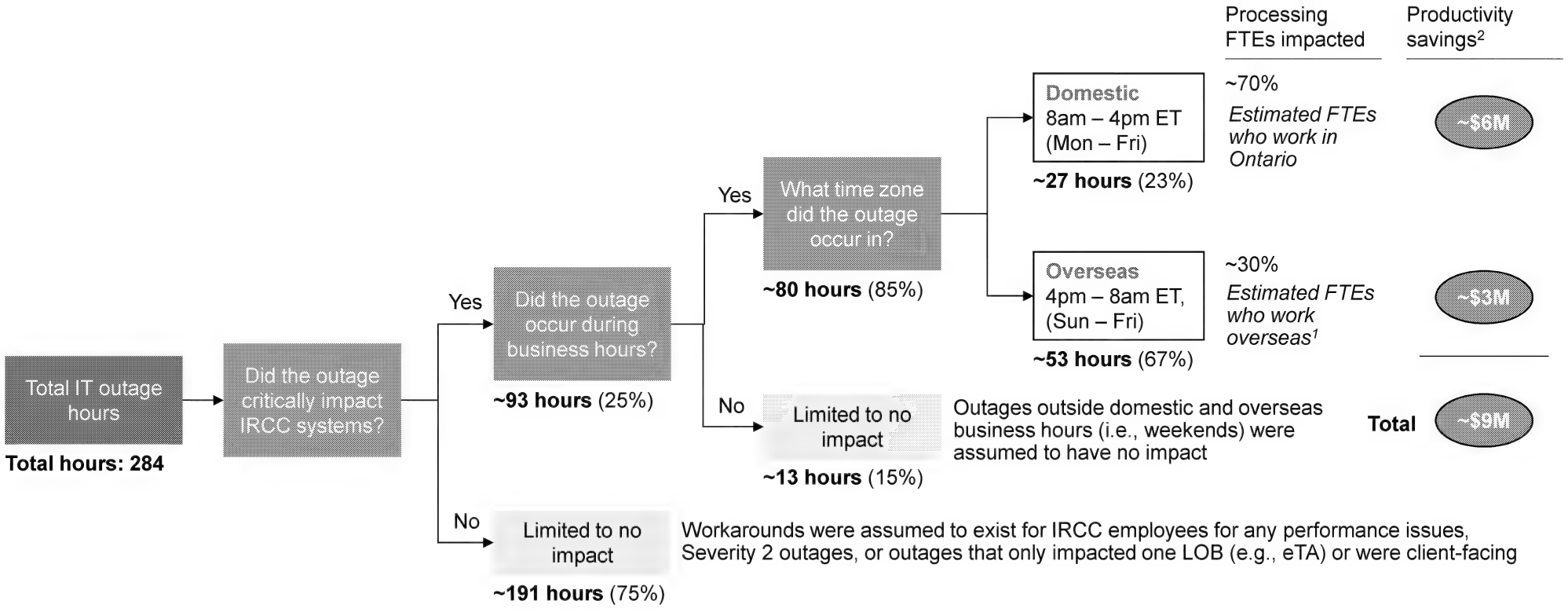
4a Reducing GCMS outages would unlock ~$9M/ year of productivity gains

Calculated for a 12-month period using outage data from April 2019 – March 2021



[1] Includes Canadians who work outside of Ontario; an outage occurring overseas is estimated to impact ~50% of the overseas population | [2] Details in appendix

Source: Stakeholder interviews, IRCC data on IT outages (2019-21)

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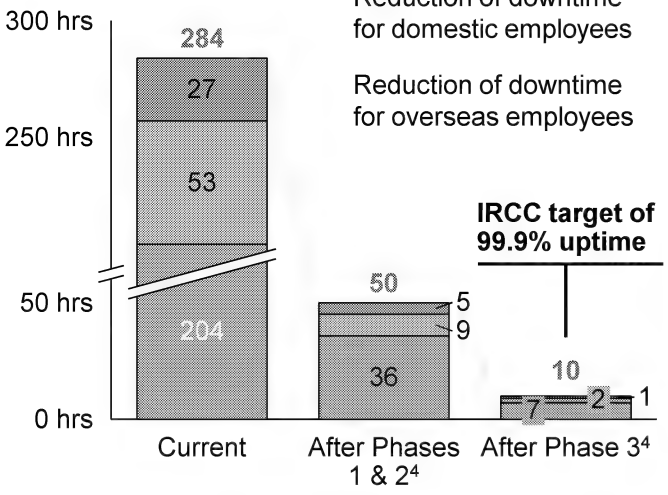
4a Detailed calculations for reducing GCMS outages to unlock ~$9M/ year of productivity gains

Downtime in a 12-month period, hours

- Full outage impacting domestic employees[1]
- Full outage impacting overseas employees[2]
- Other[3]

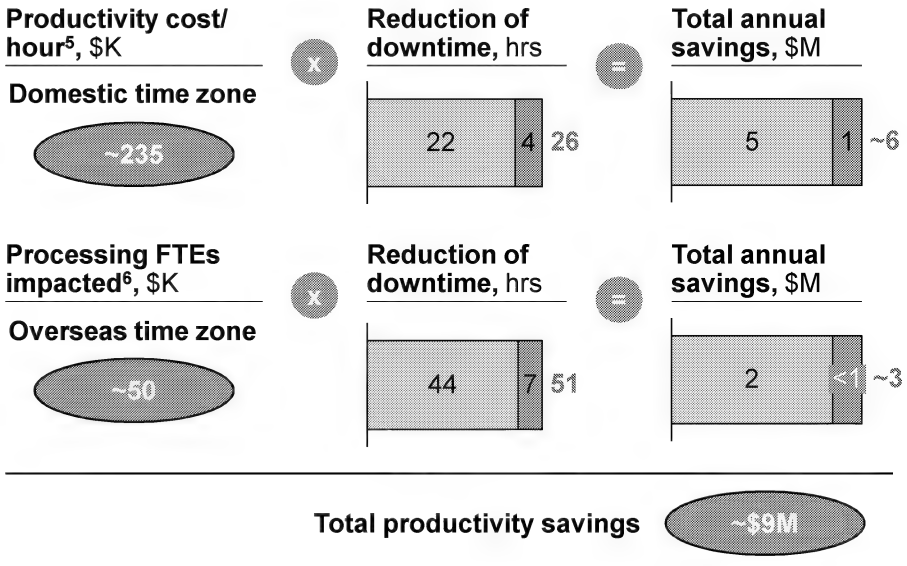


	After Phases 1 & 2	After Phase 3
Reduction of downtime for domestic employees	22 hours	4 hours
Reduction of downtime for overseas employees	44 hours	7 hours

From April 2019 – March 2021, IRCC experienced a total of 569 GCMS-driven outage hours (~17 outage hours/ month)

Total productivity savings in a 12-month period, $

Phases 1 & 2 | Phase 3



[1] Assumes outages occur between 8am – 4pm ET, Monday – Friday (same hours as Client Support Centre)
[2] Assumes outages occur between 8pm – 4am ET, Sunday – Thursday
[3] Includes outages outside business hours and partial outages/ performance issues that only impact one line of business, one system component, or a client-facing component (i.e., not IRCC employees)
[4] Assumes distribution of partial outages vs full outages impacting domestic and overseas employees does not change from current distribution
[5] Calculated using base cost of $336K, representing 100% of GCMS FTEs impacted, and assumes that ~70% of processing FTEs who work in Ontario are impacted during an outage in Eastern Time
[6] Calculated using base cost of $336K. Assumes that ~30% of processing FTEs work overseas and that any outage impacts ~50% of the overseas population (i.e., ~15% of total processing FTEs impacted)

Source: Stakeholder interviews, IRCC data on IT outages (2019-21), IRCC Benefits Realization Plan for Phases 1 & 2, Accenture diagnostic

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5 Adopting new approaches and tools for solution delivery will increase speed to market to improve program responsiveness

Current process to implement a change request

"Big bang" approach to deliver value

Example: CBSA Warrant Cancellation functionality

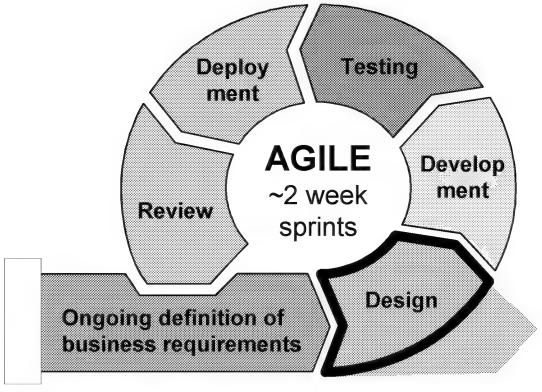
		% of total time
Functional design	3 days	~11%
Development	8 days	~30%
Testing	13 days	~48%
Deployment	1 day	~4%
Planning and tracking	2 days	~7%
Total[1]	27 days	

Current frequency of releases,

3 times/ year

Future process to implement a change request

Iteratively delivering value



Sources of improvements:

Business requirements are defined iteratively and concurrently with software development

Development is expedited as build processes are standardized

Testing is fully automated

Deployment is automated, remediating integration issues that result from manual code promotion

Future frequency of releases,

Continuous

Implement a CI/ CD[2] pipeline for continuous integration and delivery

Increasing speed to market expedites critical updates, enabling IRCC to implement innovative policy changes and improve program responsiveness

[1] Total number of days once business requirements have been defined (8 – 10 months) | [2] Continuous integration and continuous delivery/ deployment

Source: Stakeholder interviews

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6 Increasing time spent on high value work and building digital capabilities will improve employee engagement

Lever	Description	Example
Increase time spent on high value work	• **Reduce manual tasks** to free up capacity for more meaningful work • **Improve stability of systems** to reduce workflow disruptions due to outages • **Improve user interfaces** to reduce time spent integrating data from different screens	• **Automate high-volume, low-complexity cases** to enable officers to focus on higher-value work (e.g., complex cases) • **Increase system availability to reduce duplication of work** (e.g., manually re-entering data once systems are back online) • **Enable batch processing for officers** to reduce front-line pressures as volumes increase
Build digital capabilities	• **Equip employees with the capabilities, knowledge, and tools** to drive innovation • **Provide employees with access to the right data and insights** across programs and functions	• A manager in the Projects Branch has an innovative idea and **seeks out training in data visualization tools to implement it** • A call centre supervisor notices a trend in activity through analytics and **informs program management to take action**

Increasing time spent on high value work and building digital capabilities boosts morale and productivity, equipping employees with the knowledge, tools, and mindsets to succeed in a digital environment

Source: Stakeholder interviews, DPM documents from GCDOCS

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7 Advanced analytics support will improve fraud detection and make relevant decision factors more visible to officers

Example to improve fraud detection

Carleton UNIVERSITY (1)

Dear John Doe,

Congratulations! I'm pleased to offer you admission to Carleton University's Bachelor of International Business program.

…

Yours truly,

ABC (2)

1. Logo of school is slightly stretched out
2. Missing signature

✗ Given inconsistencies of this admission letter compared to others in IRCC's database, the application is flagged for more rigorous fraud detection

Example to support officers in decision making

Name: Jane Doe

Employer: X

Sponsor: Y (1)

Languages spoken: English (2)

Previous addresses:

- ABC, 2014 - 2020
- DEF, 2012 - 2014

Criminal history: None (3)

1. Jane has an eligible sponsor
2. Jane meets language requirements
3. Jane has no criminal history

✓ Given Jane's application meets the necessary requirements and she has no criminal history, her application is identified as low risk and flagged as a routine type for officer processing

Reducing fraud and improving the quality and consistency of decisions enhances program integrity, ensuring IRCC continues to maintain a high standard of quality and honours its commitment to Canadians

Source: Stakeholder interviews

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8 Reducing privacy, security, and system failure risks mitigates reputational risks for IRCC

Risk	Description	How DPM mitigates this risk
Privacy	▪ IRCC holds highly sensitive information on Canadians, permanent residents and foreign nationals (e.g. claims against country of origin, location, financial data) ▪ A data breach could result in malicious use of personal information and reprisals against some of the world's most vulnerable populations	▪ Implements security enhancements to enable privacy and protection of data and improve IRCC's ability to securely transfer information ▪ Enables process improvements for officers so add-on user interfaces no longer store IRCC data in unencrypted regional network drives
Safety and security	▪ Unstable systems limit international cooperation and our capacity to spot and address threats, exposing Canadians to greater national security risks ▪ Internationally connected systems and intelligent use of data are key to triaging risk	▪ Stabilizes underlying systems by upgrading to latest version of Siebel and establishing cloud connectivity ▪ Facilitates information exchange with other government departments (e.g., CBSA) to collaboratively identify and address threats
System failure	▪ A system failure could result in catastrophic consequences (e.g., visitors to Canada miss flights, Canadians become stuck abroad, individuals in dangerous situations are delayed from seeking asylum) ▪ Risk of system failure increases as technical debt continues to accrue	▪ Reduces risk of system failure by reducing technical debt (e.g., upgrading Siebel to the latest version, adopting API-led connectivity instead of creating one-on-one connections between applications) ▪ Improves IRCC's ability to quickly adapt to unforeseen future needs with a flexible and modular platform

Managing reputational risks enables IRCC to maintain its unique level of public support and trust for immigration, which is key to realizing the benefits of immigration

Source: Stakeholder interviews, DPM documents from GCDOCS

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9 DPM will provide a platform that enables new capabilities to allow IRCC to reimagine the art of the possible

Illustrative example – Advanced analytics

Use case	Details
Improve fraud detection	Highlight relevant decision factors to assist officers in identifying fraud, improving the quality and consistency of decisions
Identify applicants to fill critical labour shortages	Use algorithms to search through large volumes of client applications to identify specific skills to support Canada's economic growth
Understand lifecycle of clients	Proactively notify clients to support their progression through different phases in their lifecycle (e.g., automatically reach out to permanent residents when they meet eligibility criteria for citizenship)
Predict volumes	Use predictive analytics to support the Strategic and Program Policy team in designing program changes and enable officers to manage workload, improving employee experience
Recommendation engine to match clients with programs	Use algorithms to recommend programs to applicants based on their profile, simplifying the "discovery" portion of the application and ensuring services and processes are accessible and user-friendly
Personalize application fields for clients	Use artificial intelligence to implement dynamic digital applications, with fields tailored to specific client situation (e.g., applicants aged 55+ may not need to meet language and knowledge requirements)

Source: Stakeholder interviews

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10 Improved connectivity for third parties will expand the partner ecosystem

In addition to enhancing integration capabilities for current partners, API-led connectivity can expand the partner ecosystem to build the immigration platform of the future.

Partner	New possibilities created
Designated Learning Institutions (DLIs)	▪ Upload documentation directly on behalf of international students seeking visas, removing the need for officers to manually verify documents submitted by applicants
Airlines	▪ Embed up-to-date visa requirements on websites, ensuring clients have the necessary documentation before travelling
Employers	▪ Apply for visas on behalf of their employees in a portal that integrates input from both parties, streamlining processing for officers
Housing associations/ socio-cultural associations	▪ Provide data on social integration of new immigrants to help the Settlement network identify areas of focus
Social media platforms	▪ Connect with clients on platforms they are familiar with to increase engagement

Improving connectivity enables partners to access new data and insights from IRCC to deliver enhanced client services through a collaborative, innovative digital ecosystem

Source: Stakeholder interviews, Accenture architecture diagnostic

Third-party examples (non-exhaustive)

Carleton UNIVERSITY

uOttawa

WESTJET

AIR CANADA

CMHC SCHL

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DPM will enable Digital Labs to deliver additional value at an even greater velocity

- Pain point not addressed
- Pain point partially addressed
- Majority of pain point addressed

Pain points addressed by Digital Labs (cumulative)

Current pain points	Current state (no DPM)	After Phases 1 & 2 (RUN)	After Phase 3 (REIMAGINE)	Details on benefits delivered by Digital Labs
Poor client experience		~50 – 70% *Depends on end state*		• Client experience will be improved by enhancing interfaces and reducing wait time across client journeys • Phase 3 aims to enhance each journey to deliver best-in-class benefits
Operational inefficiencies		~50 – 70% *Depends on end state*		• Digital Labs aims to optimize the employee experience throughout each phase • DPM will help operations move from paper-based to digital, creating additional efficiencies
Operational & reputational risks				• Digital Labs will look to incorporate tools developed outside of the core GCMS system into a secured environment, reducing data security risk
Technology changes	No core technology changes	Siebel upgrade, cloud connectivity, and hybrid integration layer	End-state assumed to have all capabilities needed by Digital Labs	

Source: Stakeholder interviews

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Example: CIT Digital Lab expects to capture most MVP benefits after Phase 2 and 'north star' benefits after Phase 3

MVP and one-year roadmap of in-flight Digital Lab

Future of Citizenship, enabled by DPM

Features (non-exhaustive)	Citizenship Lab benefits: Benefit without DPM	Benefit after Phases 1 & 2	Benefit after Phase 3
Intuitive & dynamic digital application with field validations and contextual assistance	✓		
Digital upload of supporting documents	✓		
Confirmation of application submission	✓	✓	
Officer processing tool that automates non-risk related activities			✓
Electronic archiving of digital intake applications	✓		
Digitization of events (e.g., electronic testing, virtual ceremonies)	✓		
Digital status updates for clients		✓	
Intuitive physical presence calculator to streamline client application phase		✓	
Proactive outreach to prospective candidates who are eligible for Citizenship			✓
Quality assurance on uploaded supporting documents (e.g., flag if photo is too blurry)		✓	
Pre-filled application importing information from other sources (e.g., CBSA) to reduce manual entry			✓
Automated assessment tool to conduct simple conversational test with clients			✓
Dynamic digital application with custom fields tailored to each applicant			✓
Proactive notifications to clients to update them on application status		✓	
Automated triage of incoming applications by complexity			✓

Source: Stakeholder interviews

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Contents

1. Background
2. Case for change for DPM
3. Overview of DPM
4. Benefits from DPM
5. Value assurance assessment

Appendix

1. Background
2. Case for change for DPM
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4. Benefits from DPM
5. **Opportunities to enhance DPM**

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A To deliver on next steps, IRCC needs a simplified and centralized program management and governance structure

A well-defined program management and governance structure will set the foundation for IRCC to execute on Phases 1 and 2 and define Phase 3

Where IRCC should focus on the set up:

- **Simplify existing governance** to expedite decision-making and reduce time spent reporting to different committees for communications, input, and approval
- **Centralize existing programme management** to oversee the entire program and support IRCC in meeting milestones and deadlines on time and on budget
- **Define the links** between the program management and governance structure in Phases 1 and 2 to Phase 3

Examples:

- Redefine governance structure (both within IRCC and the Government of Canada) to be as flat as possible, enabling efficient information flow across teams and stakeholder groups
- Establish a centralized program management office (PMO) that is responsible for delivering all workstreams and supporting work (e.g., Treasury Board submission)
- Determine whether Phases 1 and 2 remain an IT transformation or are managed with Phase 3 as part of the business transformation

Where IRCC should focus on the delivery:

- **Delineate clear roles and accountabilities** to avoid duplication of work and establish clear ownership, ensuring people feel empowered in their role
- **Obtain business sponsorship** from a senior leader to shift from an IT-led project to a business-led project
- **Refine monitoring mechanisms** to ensure Phases 1 and 2 remain on track and deliver value

Examples:

- Clarify the scope of IRCC's Digital Transformation and DPM to clearly differentiate responsibilities of the Transformation Office and DPM PMO
- Establish a senior leader as the program sponsor to ensure long-term momentum and organizational-wide buy-in
- Operationalize dashboards and reporting for Phases 1 and 2 with leading indicators to identify and address slippage early

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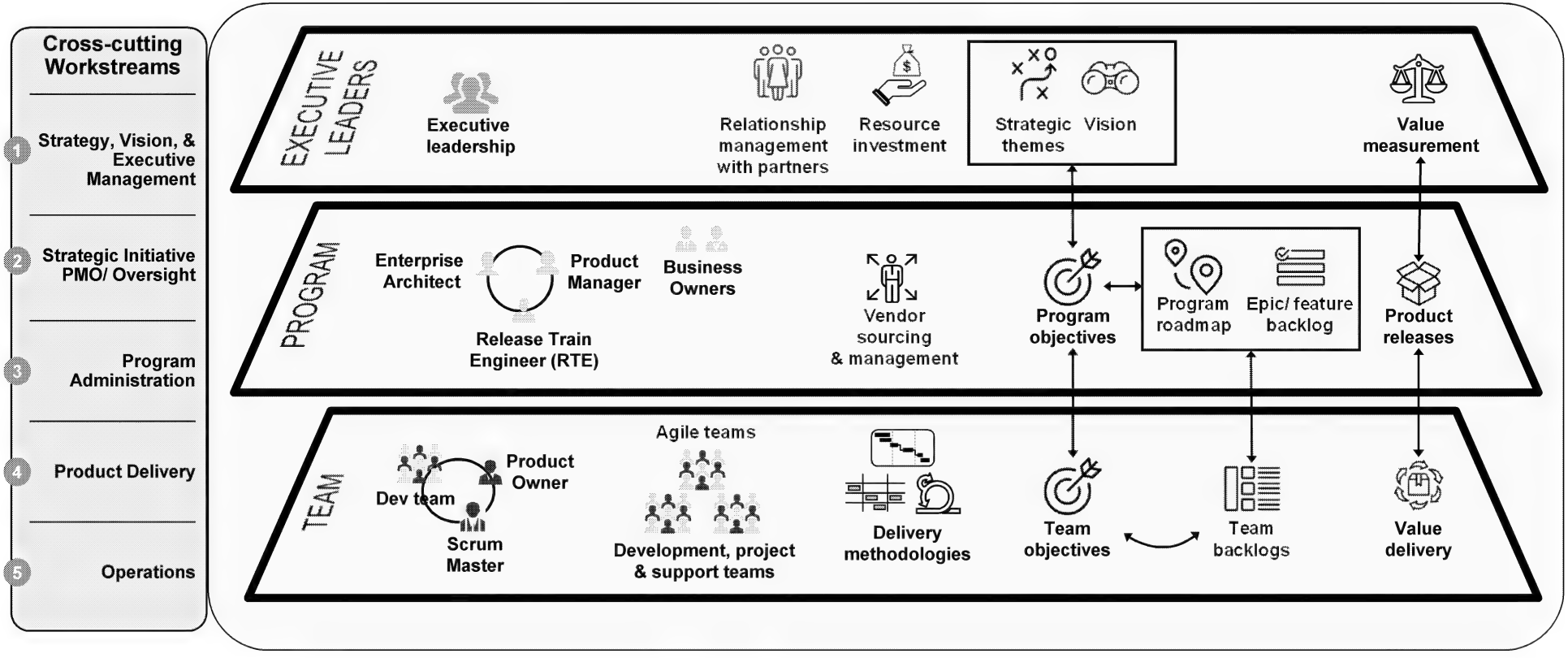
A Program management and governance structure example for a large program in the public sector (1/3)



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A Program management and governance structure example for a large program in the public sector (2/3)

5 workstreams organized the work to deliver critical outcomes while establishing clear accountability

1. **Strategy, Vision & Executive Management**
   - Develop program goals and objectives
   - Evolve vision and business strategies
   - Develop and maintain strong working relationships among partners
2. **Strategic Initiative PMO/ Oversight**
   - Achieve program objectives and specific success criteria including:
     - Strategic alignment among all parties
     - Risk/ issues, schedule, scope and governance management
3. **Program Administration**
   - Support with strategic communications, financial management, talent capability planning, recruitment, culture and sourcing/ vendor management
4. **Product Delivery**
   - Product: Responsible for product scope, release plan, backlog, defining and refining customer experiences, and developing plans for delivery
   - Application development: Responsible for the architecture, security, data migration, application development, testing, and release lifecycle
   - Infrastructure: Responsible for infrastructure and relevant technology including cloud platforms, continuous delivery pipeline, integration services, infrastructure security, application support, and operations support and maintenance
5. **Operations**
   - Responsible for operations including payment processing, settlement and reporting, product support, incident management, and relevant business process changes

Workstreams were delivered across three levels

Executive leadership	• Owns and sets the full vision and strategy • Accountable for strategic themes
Program	• Includes teams and roles required to support delivery execution • Responsible for end-to-end delivery of the Agile Release Train (ART) • Owns and sets the program objectives and roadmap • Accountable for program objectives and ultimate business value
Team	• Autonomous, multidisciplinary team (~7-10 people) • End-to-end responsibility for a product or the support of product(s) within the ART • Empowered to engage customers and make business decisions

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A Program management and governance structure example for a large program in the public sector (3/3)

Illustrative

Total program size: ~160 FTEs

Exec leaders

1 Strategy, Vision & Executive Management

Initiative Sponsors(s)	Initiative Executive	Fiscal Oversight	Strategy Liaison
ADM[1] equivalent	*ADM equivalent*	*TBD*	*TBD*

Workstream Leads

4 Product Delivery

2 Strategic Initiative PMO/ Oversight	3 Program Administration	Product, Customer Experience & Enablement	Application Development	Infrastructure	5 Operations
DG[2] equivalent	*DG equivalent*	*DG equivalent*	*DG equivalent*	*DG equivalent*	*DG equivalent*
Product delivery program management and agile support	Talent and culture	Product management	Architecture	Infrastructure architecture	Supporting management
Product enablement / program management	IT management	Enablement	Development	Cloud platform services	Operations
Operations program management	Finance	Customer experience	Quality assurance	Network	
Portfolio management	Vendor management			Quality assurance	
Executive				Operations/ maintenance support	

[1] Assistant Deputy Minister | [2] Director General

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B Value drivers & cost

Successful peers have a structured, robust understanding of where value and cost are derived from for a given project. These values and costs are also managed through the project, from inception to completion

Where IRCC should focus:

- **Attribute outcomes to deliverables:** Clearly link expected outcomes to deliverables to understand the value captured and identify any redundant deliverables
- **Define success:** Define indicators of success for all workstreams to ensure desired outcomes are achieved
- **Size opportunities:** Estimate the financial and non-financial benefits associated with each deliverable to prioritize delivery accordingly
- **Link investments to outcomes:** Right-size investments based on expected outcomes to ensure IRCC maximizes benefits to clients, employees, and Canadians

Examples:

- Ensure all planned security enhancements are additive on top of expected security benefits from Siebel upgrade in Phase 2
- Define targets for cloud connectivity (e.g., how many Digital Labs journeys are expected to be hosted)
- Prioritize deployment automation as it is expected to achieve near-term stability by reducing integration issues resulting from manual code promotion
- Consider implementing a cost ceiling for the Siebel upgrade in Phases 1 & 2 to minimize "throw-away" costs while managing near-term risk if IRCC moves away from Siebel in Phase 3

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C Product roadmap

IRCC should sequence its roadmap to deliver value iteratively, vs. a "big bang" approach, and ensure the roadmap drives alignment and prioritization of work

Where IRCC should focus:

- **Prioritize deliverables by outcome and value,** not just dependencies, to ensure iterative delivery of value
- **Add interim milestones for value delivery** to identify and address slippage early
- **Develop holistic roadmap across all 3 phases** to minimize dependencies between Digital Labs and DPM and maximize collective value delivered
- **Define Phase 3 target architecture** to deliver the required business and technology capabilities to enable IRCC's vision

Examples:

- Focus on increasing stability early (e.g., Siebel upgrade, deployment automation) to manage near-term risk
- Add interim milestones for system availability (e.g., reduce downtime to 100 hours, then 50)
- Revisit Digital Labs and DPM roadmaps to optimize them to deliver value together (e.g., prioritize Labs where required capabilities are currently available)
- Determine whether the current architecture can be enhanced to support the target vision, or if a new platform is required

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D Vendor strategy & management

A well-defined vendor strategy and management approach enables long-term vendor partnerships and sustained performance while building internal capabilities

Where IRCC should focus:

- **Ensure requirements are defined internally** to manage program scope and keep costs under control (e.g., vendors should not define what they need to build)
- **Define clear roles and accountabilities** across IRCC and all vendors to set realistic expectations, avoid duplication of work, and establish clear ownership and a partnership culture
- **Enhance vendor performance management** to increase oversight across all vendors, identify and address slippage early, and ensure partners are delivering on time and budget

Examples:

- Define desired business and technology capabilities required to enable IRCC's vision instead of requesting best-in-class capabilities that do not connect to a vision
- Clearly articulate the role IRCC vs vendors will play in change management (e.g., vendors to provide coaching while IRCC defines and executes on change management strategy)
- Establish monitoring mechanisms to oversee and manage all vendor relationships in Phases 1 and 2; define how this group will interact with vendors in Phase 3

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E Vision & strategy

Successful peers establish a program vision and strategy to act as the "north star" for large, complex digital transformations with multiple stakeholders

☐ Details to follow

Where IRCC should focus:

- **Define vision for a Digital IRCC and clearly articulate the scope of DPM Phase 3** by engaging IRCC leadership and the broader organization
- **Refine existing strategic objectives** to be more specific (e.g., digital opportunities is not sufficiently descriptive) and aligned to IRCC's vision
- **Identify where policy and legislation need to evolve** to support IRCC's vision
- **Define target operating model aligned to IRCC's vision,** including target client journeys and business and technology capabilities required to enable them
- **Align all deliverables to IRCC's vision** to ensure clarity in execution (e.g., in defining requirements)

Examples:

- Conduct workshops with IRCC leadership to jointly define the vision and ensure organizational buy-in and alignment to departmental priorities
- Outline the specific elements that need to evolve in order to achieve IRCC's vision (e.g., improve digital maturity of organization)
- Communicate policy and legislation changes needed to support new technologies (e.g., advanced analytics)
- Establish list of best-in-class business and technology capabilities and prioritize to narrow the scope to those required to enable IRCC's target operating model
- Prioritize list of digital opportunities from vendors to focus on those that support IRCC's vision

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E Proposed workplan to define vision & strategy

Activity	2021 May	Jun	Jul	Aug	Details
Prepare and kick-off	Kick-off meeting				Conduct kick-off meeting with IRCC Deputy Minister, Associate Deputy Minister, and Assistant Deputy Ministers; identify senior leaders across IRCC to engage
Align on a common fact base					Review case for change to collect insights on IRCC's current state and pain points; review IRCC's mandate to derive principles for the vision
Explore art of the possible					Benchmark IRCC against world-class immigration programs; conduct additional interviews with clients and third parties to prioritize pain points to address
Define strategy, target operating model, and benefits					Define options for the strategy and operating model to address pain points and capture opportunities identified through peers and partners; evaluate options (e.g., are they clear and compelling, do they excite a broad base of people within the program); define expected value
Identify pre-requisites and finalize Treasury Board submission					Determine implications for IRCC on policy and legislation, current operating model, technology, etc. and quantify benefits for Treasury Board submission
Delivered through workshops	1	2	3	4 5 6	Conduct workshops every 3 weeks where participants convene for half a day to collectively define the vision and strategy

Workshops:

1. Review IRCC's current state, pain points, and department mandate; align on objective and path forward
2. Discuss insights from global "go-and-see" on leading practices from other immigration programs; align on how IRCC can use technology to maximize value to Canada and Canadians
3. Synthesize additional client and partner inputs; align on how IRCC can use technology to improve the client, employee, and partner experience
4. Based on IRCC's principles, pain points, and the art of the possible, define options for the strategy and operating model that outline a future state from both a business and a technology lens
5. Evaluate options (e.g., assess whether the vision is clear, compelling, easy to understand, specific, measurable, excites a broad base of people within the program) and align on expected outcomes to feed into Treasury Board submission
6. Discuss and address implications on policy and legislation, IRCC's current operating model, and technology; align on quantification of benefits for Treasury Board submission

Commitment needed from IRCC leadership:

- Appoint a senior member to be dedicated to the working team
- Identify 1 dedicated leader from every sector to join the working team
- Convene for half-day workshops once every 3 weeks to collectively define the vision and strategy

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Action Items

Open and In Progress Items:

ID	Status	Date Raised	Team Meeting	Description	Owner	Due Date	Status Update	Date Completed
ACT-DPM-015	2. In Progress	8/18/2021	Deliverable Register	Sourcing Strategy approval is required	Alan	3/31/2022	After Industry Engagement - Does not need to be reported on weekly as it's deadline is further out.	
ACT-DPM-032	2. In Progress	9/26/2021	Email	Determine GC Wide Service Integration Points	Ian/Mike	2/28/2022	We have to look at other GC wide standardization initiatives that will impact us	
ACT-DPM-035	2. In Progress	9/24/2021	Email	Complete the NSE Declaration/Justification templates.	Rochelle	2/28/2021	There is a specific process to be followed/templates to be used. I believe the due date would be by the release of the ITQ, so perhaps Dec 31 as the due date? Although we probably need to confirm that with Claude, Rochelle, PSPC AB, etc. etc.	
ACT-DPM-038	2. In Progress	10/3/2021	Email	Discuss implications of procurement with current hardware and software vendors (i.e. contractual implications) and partnerships (i.e. MOU implications)	Rochelle	3/31/2022		
ACT-DPM-040	2. In Progress	10/12/2021	Email	Security Operations Centre (SOC) Strategy	Ian	3/31/2022	What will be the SOC strategy for DPM P3? Who will operate the primary and secondary SOCs (IRCC vs. vendor vs. Canadian Centre for Cyber Security (CCCS))? An initial position on this will be required by the start of RRR. However, given we will need to engage the CCCS on the discussions, we thought we should give some visibility to this action item.	
ACT-DPM-041	2. In Progress	10/12/2021	Email	Limitation of Liability Risk Assessment	Rochelle/Alan	2/28/2022	It is suggested that this activity be conducted between the RFI and the draft ITQ.	
ACT--DPM-048	2. In Progress	11/11/2021	Email	Project Dependencies for the way forward with DPM III	Ian/Mike	2/28/2022	DMs are looking for which projects in the department create a dependency for DPM Phase 3.	
ACT--DPM-060	2. In Progress	1/20/2022	Team Meeting	Decisions List	Rochelle and Team	2/28/2022	List of short term decisions to support procurement, programme management, and implementaion preparedness	
ACT--DPM-063	2. In Progress	1/20/2022	Team Meeting	Procurement - Quick Wins	Ian/Rochelle/Mike/Alan	2/28/2022		
ACT--DPM-065	2. In Progress	2/1/2022	Email	Options Analysis	Rochelle	3/31/2022		
ACT--DPM-066	2. In Progress	2/7/2022	Kickoff Meeting	RFI Review	Alan/Claude/Rochelle/Ian	3/11/2022	Review and compile responses to RFI submissions.	
ACT--DPM-067								
ACT--DPM-068								
ACT--DPM-069								
ACT--DPM-070								
ACT--DPM-071								
ID	Status	Date Raised	Team Meeting	Description	Owner	Due Date	Status Update	Date Completed

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DPM Phase 3 Readiness Assessment
Executive Summary – Approach and Findings

- The DPM Phase 3 Readiness Assessment was:
  - Conducted in February and March, 2021.
  - Primarily focused on TDSS, though it was influenced by the capabilities and readiness of IRCC as a whole.
- The analysis was:
  - Structured around a comprehensive framework of 41 assessment categories grouped into seven key domains.
  - Based on 34 interviews with more than 40 participants, as well as extensive document review.

Domain	Category	
1. Strategy & Leadership	1.1 Executive Support	Low
	1.2 Vision, Goals & Objectives	High
	1.3 Business Case & Benefits Management	Med
	1.4 Governance	Low
	1.5 Sourcing Strategy	Low
	1.6 External Dependencies	Med
2. Architecture	2.1 Enterprise Architecture *	N.A.
	2.2 Application Architecture *	N.A.
	2.3 Solution Architecture **	Med
	2.4 Business Architecture	Med
	2.5 Technology Architecture	High
	2.6 Information Architecture	Low
	2.7 Security Architecture	Med
	2.8 Integration Architecture	High
3. Project Delivery	3.1 Scope	Med
	3.2 Schedule	High
	3.3 Budget	Low
	3.4 Resources	Low
	3.5 Risk Management	Med
	3.6 Issue Management **	Med
	3.7 Team Collaboration & Cohesion	High
	3.8 Quality Assurance **	Low

Domain	Category	
4. Solution Development	4.1 Requirements	Med
	4.2 Solution Design **	N.A.
	4.3 Development & Configuration	N.A.
	4.4 Testing	Low
	4.5 Integration / Interfaces	Med
	4.6 Data Conversion **	Low
	4.7 Reporting & Analytics	High
5. Implementation / Deployment	5.1 Infrastructure & Operations	Med
	5.2 Deployment	Med
	5.3 User Support	N.A.
	5.4 Knowledge Transfer	N.A.
	5.5 Operational Support	N.A.
6. Change Management	6.1 Change Management & Stakeholder Perception	Med
	6.2 Communications	High
	6.3 Training	Med
7. Foundational	7.1 Vendor Management	Med
	7.2 Security	Med
	7.3 Methodology & Tools	Med
	7.4 Compliance	Med

* Not applicable to programme / project readiness or risk assessments.
** Not applicable to departmental readiness assessments.
Descriptions of each assessment category are provided in Appendix D.

There are no major indicators that the DPM Phase 3 programme should be stopped or delayed.

- Overall observation is that DPM Phase 3 is at a reasonable state of readiness for a programme in its very early stages.
- It is common for programmes in their early stages to have a mixed assessment of assessment categories in the high, medium and low levels of readiness.

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DPM Phase 3 Readiness Assessment
Executive Summary – Recommendations

- There are some actions that should be taken in relation to most of the assessment categories to continue improving readiness prior to major increases in programme activities.
- The recommendations have varying levels of urgency. However, of the nine areas within the Readiness Assessment with a score of "low", there is an immediate need to address five of them. These relate to the Strategy & Leadership and the Project Delivery assessment domains:

Category	Summary Recommendation
1.1 – Executive Support	• Formally obtain business-side Executive Support from the DM or DMA, and assign an ADM as a full-time Programme Director / Lead. Build broad executive support across IRCC leadership at the Director level and above.
1.4 – Governance	• Take a two-pronged approach to streamlining Governance so that it will support a large transformation initiative. The key objective is to enable efficient and effective decision making – differentiated from consultation, controls, reporting, oversight, etc. • Optimize internally controlled decision making (i.e. within IRCC) and manage externally controlled decision making.
1.5 – Sourcing	• Complete the development of the Phase 3 Sourcing Strategy, and begin implementing Phase 3 sourcing as an official project – develop key project management artifacts, implement key project activities, and assign resources and budget. Continue with plan to obtain professional service support for the selection / procurement process.
3.3 – Budget	• Develop and implement a Funding and Budget Management Model for DPM that enables the delegation of spending authority to the programme / project leaders with the corresponding accountability. Optimize spending controls to support business agility (i.e. based on initiative needs rather than completed milestones) and separate them from audit functions.
3.4 – Resources	• Develop a comprehensive Phase 3 programme Resource Strategy and Organization Structure, and begin proactive resource planning and management. Implement a strong-matrix resource model where sector resources are assigned to, and controlled by, the programme for the duration of their need.

- Recommendations are being incorporated into programme management tools and planning documents to ensure implementation.
- An IRCC readiness assessment is currently underway to assess the department's readiness to implement DPM Phase 3.
- Periodic readiness / risk assessments are planned for DPM Phase 3 to identify and address risks on an ongoing basis.

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Deliverable Register

Team	Artifact Name	Target Completion Date	Status	Artifact Lead	Approvers	Comments
1	**Project and Programme Management**					
	Risk Log/Strategy	6/16/2021	Complete	Darrell Perala		
	Issue Log	6/16/2021	Complete	Darrell Perala		
	Decision Log	6/16/2021	Complete	Darrell Perala		
	[redacted]					N/R
	Programme Management Documents					
	Programme Milestones (end to end for DPM Phase 3)	9/30/2021	Initiated	Darrell Perala		
	Programme Mandate	9/30/2021	Not started	Darrell Perala		To be informed by Business Vision working group
	Programme Preparation Plan	9/30/2021	Not started	Darrell Perala/Claire Lake		
	Programme Brief (for Definition)	9/30/2021	Started	Claire Lake		
2	[redacted]					N/R
3	**Programme Governance**					
	Preliminary DPM P3 RACI Model	6/2/2021	Complete	David Lorber		N/R
	[redacted]					
	Rational for SAR Letter	7/28/2021	Complete	David Lorber		
	Governance Model and Terms of Reference	8/25/2021	In Progress	David Lorber		
	Governance Calendar	9/30/2021	Not started	David Lorber		

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Team	Artifact Name	Target Completion Date	Status	Artifact Lead	Approvers	Comments
4	**Oversight and Assurance**					
	TDSS Digital Readiness Assessment	4/22/2021	Complete	David Lorber		
	TDSS Digital Readiness Assessment – Executive Summary	6/2/2021	Complete	David Lorber		
	DPM Readiness Assessment	4/22/2021	Complete	David Lorber		
	Phoenix Lessons Learned	8/3/2021	Complete	David Lorber		
	IRCC Readiness Assessment	9/30/2021	In Progress	David Lorber		
	Oversight & Assurance Strategy	9/30/2021	In Progress	David Lorber		IAB is co-authoring the document and will be accountable
	Programme Health Check	2/1/2022	Not started	TBD		
	DPM Readiness Assessment Update	11/1/2021	Not started	David Lorber		
	Programme Risk Assessment	9/30/2021	In Progress	David Lorber		Ongoing Risk Assessment Process to review Programme risk.
5	**Policy**					
	Preliminary Legislative, Regulatory, Policies Impact Assessment	8/31/2021	Not started	Al Hare		Includes potential required policy changes.
	Legislative, Regulatory, Policies Impact Assessment	3/31/2022	Not started	Al Hare		Includes potential required policy changes.
6	**Business Vision and Requirements**					
						N/R
	Digital Opportunities Terms of Reference - Definition Phase	10/29/2021	Started	Alan Manara // Michael Cho Chu		
	Digital Opportunities Definition and Costing Templates	8/31/2021	Complete	Alan Manara // Michael Cho Chu		
	Business Vision	9/30/2021	In Progress	Claude Bazinet // Michael Cho Chu		Working Group formed
	High Level Business Requirements	3/31/2022	Not started	Alan Manara // Michael Cho Chu		For ITQ
	Future State Business Architecture	9/30/2022	Not started	Alan Manara // Michael Cho Chu		
	Business Requirements	9/30/2022	Not started	Alan Manara // Michael Cho Chu		These requirements would feed the RFP process (Statement of Work/Statement of Requirements). This would include Business Requirements, Technical Requirements/Constraints, Service Management Requirements, Security Requirements, Privacy Requirements, etc.
	Accessibility Plan and Related Requirements	9/30/2022	Not started	Alan Manara // Michael Cho Chu		
	Concept of Operations (ConOps)	3/31/2023	Not started	Alan Manara // Michael Cho Chu		Includes the Service Management Plan.
	Functional Requirements Traceability Matrix (FRTM)	3/31/2023	Not started	Alan Manara // Michael Cho Chu		

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Team	Artifact Name	Target Completion Date	Status	Artifact Lead	Approvers	Comments
	Service Transition Strategy	Q1 FY23-24	Not started	Alan Manara // Michael Cho Chu		
7	**Business Process Optimization Team**					
	Business Process Optimization Plan	9/30/2021	Not started	Al Hare		
	Lean Initiatives / Journey Labs: High Level Requirements	9/30/2021	Not started	Al Hare		Requirements to be added to the SOW/SOR to address the work to be completed on Lean Initiatives and Journey Labs.
8	**Architecture and Capabilities Management**					
	Technical Digital Platform Strategy	2/28/2021	Complete	Accenture/ Gartner		
	Technical Digital Platform Capabilities Strategy, Plan and Inventory	9/30/2021	Not started	Michael Cho Chu		Approach to how the identified capabilities will be delivered and by who (e.g. MSP, internal, separate solution, etc.)
	Current State Documentation	3/31/2022	Not started	Michael Cho Chu		Input into RRR
	Solution Prototypes and POCs					
	Proposed High Level Solution Architectures (each Qualified Supplier)					
	Future State Enterprise Architecture (conceptual)	9/30/2021	Not started	Michael Cho Chu		It is assumed that no other architecture deliverables are required for RFP;
	Reference Architecture	9/30/2021	Not started	Michael Cho Chu		From the old Work Plan.
	Technical Requirements and Constraints	9/30/2022	Not started	Michael Cho Chu		For inclusion in the RFP/SOW/SOR
	Detailed Solution Design	1/30/2022	Not started	Michael Cho Chu		
9	**Security**					
	Identity Strategy	3/31/2022	Not started	Al Hare		
	Cyber Security Strategy	3/31/2022	Not started	Al Hare		
	Preliminary IT Security Assessment	3/31/2022	Not started	Al Hare		
	Security Architecture	3/31/2022	Not started	Al Hare		
	Security Strategy	3/31/2022	Not started	Al Hare		
	Security Requirements	9/30/2022	Not started	Kelly Liu		
	SA&A Plan	3/31/2022	Not started	Al Hare		Required for the SOW/SOR for Qualified Suppliers to understand their obligations for SA&A.
	Security Requirements Traceability Matrix (SRTM)	3/31/2023	Not started	Al Hare		
	Threat Risk Assessment (TRA)	3/31/2023	Not started	Al Hare		
	Business Context (Statement of Sensitivity)	3/31/2023	Not started	TBD		
10	**Privacy, Data and Information Management**					
	Privacy, Information Management and Data Management Strategy	3/31/2022	Not started	Al Hare		
	Preliminary Privacy Impact Assessment (PIA)	3/31/2023	Not started	Al Hare		
	Privacy, IM and Data Management Requirements	9/30/2022	Not started	Al Hare		
	Privacy Impact Assessment (PIA)	3/31/2023	Not started	Al Hare		
11	**Procurement**					
	Sourcing Strategy	6/30/2021	Draft Complete	Alan Manara		
	Procurement Strategy	6/30/2021	Draft Complete	Alan Manara		
	Industry Engagement					
	Procurement Plan for Industry Engagement	6/30/2021	Draft Complete	Alan Manara		

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Team	Artifact Name	Target Completion Date	Status	Artifact Lead	Approvers	Comments
	Industry Engagement Plan	8/11/2021	Draft Complete	Alan Manara		
	Request for Information/Industry Day Deck	8/27/2021	In Progress	Alan Manara		
	Request for Information (RFI)	8/27/2021	In Progress	Alan Manara		High Level Requirements
	RFI Responses	11/30/2021	Not Started	Alan Manara		
	Vendor Consultations (One on One) Meeting Notes	11/30/2021	Not started	Alan Manara		
	Industry Engagement Summary and Recommendations	12/31/2021	Not started	Alan Manara		
	Invitation to Qualify (ITQ)	1/31/2022	Not started	Alan Manara		
	ITQ Responses	3/15/2022	Not started	Alan Manara		
	ITQ Response Summary and Recommendations	3/31/2022	Not started	Alan Manara		
	ITQ Phase					
	Vendor Management Strategy	10/30/2022	Not started	Alan Manara		Defined how the vendor will be managed throughout the life of the contract. This will be completed as part of Definition Phase.
	Limitation of Liability Risk Assessment	10/30/2022	Not started	Alan Manara		Risk assessment used if the standard GC LOL amounts are changed for this product (GSIN) category.
	Request for Proposal (including Statement of Work/Requirements)	10/31/2022	Not started	Alan Manara		Includes Statement of Work/Business/Technical/Performance Requirements
	Solution Prototypes / POCs	10/30/2022	Not started	Each Vendor		This will be part of the Procurement Process. Each Qualified Supplier will present their Solution Prototype.
	Proposed High Level Solution Architecture	10/30/2022	Not started	Each Vendor		This will be part of the Procurement Process. Each Qualified Supplier will present their Solution Architecture.
	Vendor Management Design and Set-up	3/31/2023	Not started	Alan Manara		
12	**Stakeholder Management**					
	Stakeholder Engagement Strategy	10/1/2021	Started	Pascale Fortin Giguere/Velma Leblanc		Strategy completed and approved up to March 2022.
	Roadshow Deck	10/4/2021	Started	Anthony Woods		
	Iternal Stakeholder Assessment	12/31/2021	Started	Pascale Fortin-Giguere/Velma Leblanc		52 interviews were conducted amoung leaders across IRCC.
	External Stakeholder Assessment	1/31/2022	Started	Pascale Fortin Giguere/Velma Leblanc		
	Stakeholder Engagement Plan	8/20/2021	Started	Pascale Fortin-Giguere/Velma Leblanc		
13	**Communications**					
	Communications Strategy	11/1/2021	Started	Pascale/Velma LeBlanc		Date Change Aug19
	Communications Plan	9/30/2021	Not started	Pascale/Velma LeBlanc		
14	**Change Management**					

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Team	Artifact Name	Target Completion Date	Status	Artifact Lead	Approvers	Comments
	HR Strategy (Steady State)	9/30/2021	Not started	Anthony Woods		Required as input to SOW.
	Change Management Strategy	12/30/2021	Not started	Velma LeBlanc/Pascale FG		Required as input to SOW.
	Training Strategy	9/30/2021	Not started	Velma LeBlanc/Pascale FG		
	Training and Change Management Requirements	3/31/2022	Not started	Velma LeBlanc/Pascale FG		
	Change Management Plan	Q1 FY23-24	Not started	Velma LeBlanc/Pascale		
	Training Plan	Q1 FY23-24	Not started	Velma LeBlanc/Pascale FG		